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WIOA In School &

Out of School Youth Programs

PY20 Comprehensive Monitoring Guide



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# WIOA In School Youth Eligibility

* Between the ages 14-21,
* **Attending** school,
* Legally entitled to work in the U.S.;
* Registered for Selective Service, if applicable;
* Low income, **and**
* Meet one or more of the following:
  + Basic skills deficient;
  + English language learner;
  + Offender/ex-offender
  + Homeless, runaway;
  + Currently in or aged out of the foster care system
  + Pregnant or parenting;
  + Disabled; or
  + Requires additional assistance to complete an educational program or to secure or hold employment.

# WIOA Out of School Youth Eligibilty

* Between the ages 16-24,
* **Not attending** any school, (includes students enrolled in a dropout reengagement program under RCW 28A.175.100; 28A.175.105; aka: Open Doors/1418);
* Legally entitled to work in the U.S.;
* Registered for Selective Service, if applicable; **and**
* Meet one or more of the following:
  + A school dropout;
  + \*Within the age of compulsory school attendance (for WIOA purposes, youth ages 16-17), but has not attended school for at least the most recent complete school year calendar quarter. In cases where schools do not use quarters, local programs must use calendar year quarters;
    - \*Evan Rosenberg, Division of Youth Services, DOL ETA, “WIOA Youth Eligibility Live Q&A Session” on WorkforceGPS October 24, 2017: Evan explained that this category refers to youth who have not attended school during the most recent school quarter and have not been officially identified as “dropped out” by the school (still on the rolls).
  + Offender/ex-offender
  + Homeless or a runaway;
  + Currently in or aged out of the foster care system;
  + Pregnant or parenting;
  + Disabled;
    - Has a high school degree or its equivalent, is low income **and** is:
    - Basic skills deficient, or
    - An English language learner;
  + Low-income **and** requires additional assistance to enter or complete an educational program or to secure or hold employment.

**Age 22+ and Attending Postsecondary Education:**

**TEGL 21-16:** A youth attending postsecondary education who is age 22 at time of eligibility determination would not be eligible for the WIOA youth program because they are in school and over the age of 21. *That individual could be served through the WIOA Adult program.*

## Age / Date of Birth

**OSY Ages -** Between the ages 16-24

**ISY Ages -** Between the ages 14-21

**Self-Attestation - ESD Policy 1019, Rev. 4:** Self-attestation of age *is acceptable for ISD co-enrollment*, *Basic Career Services only*. Full eligibility documentation is required for participants pursuing Individualized Career Services or Training Services

## Selective Service Registration

Selective Service System Website: <https://www.sss.gov/>

**Selective Service Registration Requirements** - **TEGL 11-11, Change 2**

Men born on or after January 1, 1960 are required to register with Selective Service within 30 days of their 18th birthday (i.e. 30 days before or 30 days after their birthday.) This includes males who are:

• Citizens of the U.S.;

• Non-citizens, including illegal aliens, legal permanent residents, seasonal agricultural workers, and refugees, who take up residency in the U.S. before their 26th birthday; and/or

• Dual nationals of the U.S. and another country regardless of whether they live in the U.S.

For U.S. citizens, Selective Service registration is **not** required if the man falls within one of the following categories:

• Men who are serving in the military on full-time active duty;

• Men attending the service academies;

• Disabled men who are continually confined to a residence, hospital or institution; and/or

• Men who are hospitalized, institutionalized, or incarcerated are not required to register during their confinement; however, they must register within 30 days after being released if they have not yet reached their 26th birthday.

For non-U.S. citizens, Selective Service registration is not required if the man falls within one of the following categories:

• Non-U.S. male who came into this country for the first time after his 26th birthday.

Acceptable forms of supporting documentation include:

1. Date of entry stamp in his passport;

2. I-94 with date of entry stamp on it; or

3. Letter from the U.S. Citizenship and Immigration Services (USCIS) indicating the date the man entered the United States presented in conjunction with documentation establishing the individual’s age.

• Non-U.S. male who entered the U.S. illegally after his 26th birthday. He must provide proof that he was not living in the U.S. from age 18 through 25.

• Non-U.S. male on a valid non-immigrant visa.

**Transgender / Non-Binary Person** - <https://www.sss.gov/faq/#who-needs-to-register>

Selective Service bases the registration requirement on gender assigned at birth and not on gender identity or on gender reassignment. Individuals who are born male and changed their gender to female *are still required to register*. Individuals who are born female and changed their gender to male are not required to register.

For more information on who must register, <https://www.sss.gov/wp-content/uploads/2020/02/WhoMustRegisterChart.pdf>

ESD WS System Policy 1019, Rev. 4 - Requirement to Register:

To be eligible to receive WIOA Title I-funded services, all males born on or after January 1, 1960 must present documentation showing compliance with the Selective Service registration.

**Males 25 Years and Under:**

* Before being enrolled in WIOA Title I services, all males who have not yet reached their 26th birthday must register with the Selective Service or provide documentation indicating they are covered by an exception.
* **Males turning 18** while participating in WIOA Title I services must complete their Selective Service registration *no later than 30 days after turning 18 to continue to receive WIOA Title I services.*
* Males between 18 and 25 years of age who refuse to register with the Selective Service must be suspended from WIOA Title I services until registered.
* If a youth fails to provide verification of Selective Service registration within 30 days of his 18th birthday, services must be suspended (i.e. on the 31st day after his 18th birthday).
* LWDBs must stop providing services to participants who have not met Selective Service registration requirements until the requirements are met.

**Self-Attestation**

* Self-attestation of Selective Service Registration is acceptable for ISD co-enrollment, Basic Career Services only
* Full eligibility documentation is required for participants pursuing Individualized Career Services or Training Services

## Legally Entitled to Work in THE U.S.

**20 CFR 683.285(5):** Participation in programs and activities receiving funds under Title I of WIOA *must* be available to citizens and nationals of the United States, lawfully admitted permanent resident aliens, refugees, Asylees, and parolees, and other immigrants authorized by the Attorney General to work in the United States.

Social Security Number (SSN) not required for eligibility

**TEGL 26-16:** Eligibility to participate in any of the programs under WIOA is not contingent upon the individual providing a Social Security Number.

**Requesting SSN and Providing Services** **- WIN 0081, Change 3:**

* Organizations that provide services to individuals under Title I and III of WIOA must request SSNs from those individuals because matching SSNs against quarterly UI wage records remains the most timely, effective and accurate way to ensure that performance data is available to the one-stop system and WIOA statutes direct states to use UI wage records for this purpose.
* Those same organizations, however, cannot require individuals to provide SSNs as a condition of program participation or receipt of services. Eligible individuals who do not provide SSNs must be provided all categories and types of services for which they qualify, subject to priority of service and resource availability considerations that otherwise apply to all eligible individuals.
* *Exception*: DOL has stated that U.S. IRS rules take precedence over WIOA rules. Therefore, per this WIN, individuals who do not want to provide their SSN must decide whether or not to continue to withhold that information when the service would require reporting income and wages to IRS. If those individuals choose to continue to withhold their SSN, LWDBs and their service providers may subsequently withhold those specific services.
* Services and case notes connected to individuals who do not provide SSNs must be recorded and tracked in WIT. Procedures are outlined in the WIT SSN Procedure Guide.
* Service provider staff must explain to participants who receive services without providing SSN that they and possibly their future employers will be contacted in the future and asked about their employment and earnings outcomes.
* To that end staff must ensure that full and extensive contact information is collected from such participants (primary and secondary phone numbers, e-mail addresses mailing addresses, including the same for alternative and secondary contacts) and instruct such participants to provide updated contact information if anything changes. In following up with participants, staff should contact them as close as possible to the end of the second and fourth quarters after exit.

**ESD Policy 1019, Rev 4 Handbook:**

* LWDBs are required to verify U.S. citizenship or legal right to work for all WIOA Title I programs.
* Self-attestation is the minimum documentation requirement, but LWDBs may choose to require commonly used I-9 documentation such as driver’s license or ID cards along with Social Security cards.
* Other documentation *may only* be used to *supplement* self-attestation or accepted I-9 documentation.
* List of Acceptable Documents as listed on Form I-9

### LiSt of I-9 Acceptable Documents

Homeland Security at <http://www.uscis.gov/i-9-central/acceptable-documents/list-documents>

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **List A**  Documents that Establish Both Identity and Employment Authorization | ***OR*** | **List B**  Documents that Establish Identity | ***AND*** | **List C**  Documents that Establish Employment Authorization |
| 1. U.S. Passport or U.S. Passport Card 2. Permanent Resident Card or Alien Registration Receipt Card (Form I-551). Signatures not required. 3. Foreign passport that contains a temporary I-551 stamp or temporary I-551 printed notation on a machine-readable immigrant visa 4. Employment Authorization Document that contains a photograph (Form I-766) 5. Foreign passport with Form I-94 or Form I-94A, Arrival/Departure Report bearing the same name as the passport and containing an endorsement of the alien’s nonimmigrant status that authorizes such alien to work for a specific employer. 6. Passport from the Federated States of Micronesia (FSM) or the Republic of the Marshall Islands (RMI) with Form I-94 or Form I-94A indicating nonimmigrant admission under the Compact of Free Association Between the United States and the FSM or RMI. |  | 1. Driver’s license or ID card 2. School ID card with   Photograph   1. Voter’s registration card 2. U.S. Military card or draft record 3. Military dependent’s card   **6.** U.S. Coast Guard  Merchant Mariner Card  **7.** Native American tribal  document  **8.** Driver’s license issued by Canadian government  authority  **For persons under age 18 who are unable to present a document listed above:**  **9.** School record or report  card  **10.** Clinic, doctor or hospital record  **11.** Day-care or nursery  school record |  | 1. \*Social Security Card. A card that includes any of the following restrictive wording IS NOT ACCEPTABLE for List C documents:  * NOT VALID FOR EMPLOYMENT; * VALID FOR WORK ONLY WITH INS AUTHORIZATION; or * VALID FOR WORK ONLY WITH DHS AUTHORIZATION * **NOTE:** According to the [U.S. Citizenship and Immigration Services,](https://www.uscis.gov/i-9-central/i-9-central-questions-answers/faq/unsigned-social-security-card-valid) you may accept a Social Security card that has not been signed.  1. Certification of Birth Abroad issued by the Department of State (Form FS-545)   **3.** Original or certified copy of birth certificate issued by a state, county, municipal authority or outlying  possession of the United States bearing an official seal.  **4.** Native American tribal documents  **5.** U.S. Citizen ID Card (Form I-197)  **6.** Identification Card for Use of Resident Citizen in the United States (Form I-179)  **7.** Employment authorization document issued by DHS. |

## School Status at Program Entry

**School Status**

|  |  |
| --- | --- |
| * **ISY:** In-school, HS or less * **ISY:** In-school, Alternative School * **ISY:** In-School, Post-HS | * **OSY**: Not attending school or HS Dropout * **OSY:** Not attending school; H.S. Graduate |

### In-School Youth (ISY)

**TEGL 21-16:** If a youth is enrolled in the WIOA youth program during the summer and is in between school years, the youth is considered an **ISY** if they are enrolled to continue school in the fall. If a youth is enrolled in the WIOA youth program between high school graduation and postsecondary education, the youth is considered an **ISY** if they are registered for postsecondary education, even if they have not yet begun postsecondary classes at the time of WIOA youth program enrollment. If the youth participant is enrolled in any **credit-bearing postsecondary education** classes, including credit-bearing community college classes and credit-bearing continuing education classes, then they are considered attending postsecondary education, and, therefore, in **ISY**.

**WIN 0084:** Homeschooled youth who meet the WA State requirements at [RCW 28A.200](http://app.leg.wa.gov/RCW/default.aspx?cite=28A.200) and [28A.225.010(4)](http://app.leg.wa.gov/RCW/default.aspx?cite=28A.225.010) are considered **ISY**.

**ESD WS System Policy 1019, Rev. 4:** Washington’s Open Doors program recognizes a range of models or approaches with varying degrees of school or school district engagement. DOL acknowledges that Washington’s ISY and OSY determination is situational and depends on the degree to which schools and school districts are service providers and funders in dropout re-engagement programs. If schools or school districts are substantially directive, invested, and accountable (e.g., WIOA program only provides supportive services to participants), those youth should be designated ISY. This also applies to dropout re-engagement programs not connected to Open Doors. Individuals whose home-schooling activity meets the requirements of at [RCW 28A.200](http://app.leg.wa.gov/RCW/default.aspx?cite=28A.200) and [28A.225.010(4)](http://app.leg.wa.gov/RCW/default.aspx?cite=28A.225.010) can seek eligibility as ISY; if not, they need to meet OSY eligibility criteria.

**ETA 9170:** In-school, secondary school or less: At program entry has not yet received a secondary diploma or its recognized equivalent and is attending any primary or secondary school (including elementary, intermediate, junior high school, whether full or part-time), or is between school terms and intends to return to school. In-school, post-secondary school: At program entry, has received a secondary school diploma or its recognized equivalent and is attending a post-secondary school or program (whether full or part-time), or is between school terms and is enrolled to return to school.

### Out of School Youth (OSY)

### WIOA Section 129(a) (B)

A youth who is within the age of compulsory school attendance but has not attended school for at least the most recent school calendar quarter. **WIOA Final Rules, p. 56161 “Measuring Attendance by School Year”:** The school quarter is based on how a local school district defines its school quarters.

**20 CFR 681.230**: WIOA youth programs may consider a youth to be **OSY** for purposes of WIOA youth program eligibility if he or she attend adult education provided under Title II of WIOA, YouthBuild, Job Corps, high school equivalency programs, or dropout re-engagement programs regardless of the funding sources of those programs.

**WIN 0084, Change 1 & ESD WS System Policy 1019, Rev. 4:** Washington’s Open Doors program recognizes a range of models or approaches with varying degrees of school or school district engagement. *DOL acknowledges that Washington’s ISY and OSY determination is situational and depends on the degree to which schools and school districts are service providers and funders in dropout re-engagement programs*. If schools or school districts, despite having enrolled the youth into school, largely cede service provision to other entities (e.g., WIOA Title I youth providers, community-based organizations, non-profits), have minimal financial investment, and require little or no district-based accountability of participants, youth in those programs can be designated OSY. Based on the guidelines cited above, *local areas must thoroughly document OSY designation* *when youth participants in dropout re-engagement programs are enrolled in school***.**

**TEGL 21-16:** If a youth graduates high school and registers for postsecondary education, but does not ultimately follow through with attending postsecondary education, then such a youth would be considered an **OSY** *if the eligibility determination is made after the point that the youth decided not to attend postsecondary education.* If the youth participant is only enrolled in **non-credit-bearing postsecondary** classes, they would not be considered attending postsecondary school and, therefore, an **OSY**.

**WIN 0084:** Homeschooled youth who do not meet the WA State requirements at [RCW 28A.200](http://app.leg.wa.gov/RCW/default.aspx?cite=28A.200) and [28A.225.010(4)](http://app.leg.wa.gov/RCW/default.aspx?cite=28A.225.010) are not considered **ISY** and need to meet the **OSY** eligibility criteria.

**ETA 9170:** *Not attending school or is a Secondary School Dropout****:*** At program entry, is not within the age of compulsory school attendance and is no longer attending any school and has not received a secondary school diploma or its recognized equivalent. *Not attending school, secondary school graduate or has a recognized equivalent*: At program entry, is not attending any school and has either graduate from secondary school or has attained a secondary school equivalency. *Not attending school, within the age of compulsory school attendance:* At program entry, is within the ate of compulsory school attendance, but has not attended school for at least the most recent complete school year calendar quarter and has not received a secondary school diploma or its recognized equivalent

**Not Considered “Schools”**

**20 CFR 681.230**: For the purposes of WIOA, the Department *does not consider the following to be schools:*

* Providers of adult education under Title II of WIOA,
* Youth Build programs,
* Job Corps program,
* High school equivalency programs, or
* Dropout re-engagement programs (Open Doors/1418).

**When and How to Determine School Status**

**TEGL 21-16:** As discussed in 20 CFR 681.240, school status is determined at the time of program enrollment. Because the process of program enrollment can occur over time, school status must be based at the time of eligibility determination. Once the school status of a youth is determined that school status remains the same throughout the youth’s participation in the WIOA youth program. This distinction is drawn for the purposes of reporting against the OSY expenditure requirement.

## Low Income

**Applies To**

* All in-school youth and
* Out-of-school youth in the following 2 categories ONLY:
* A recipient of a secondary school diploma or its recognized equivalent who is basic skills deficient or an English language learner; or
* Who requires additional assistance to enter or complete an educational program or to secure or hold employment.

### Low Income Individual

**WIOA Sec. 3(36)(A):** In general, the term “*low income individual”* means an individual who-

1. Receives, or in the past six (6) months has received, or is a member of a family that is receiving or in *the past six (6) months has received*, assistance through:

* Food stamps; **or**
* TANF; **or**
* SSI; **or**
* State or local income-based public assistance (e.g., Washington State Medicaid or Special Supplemental Nutritional Programs for Women, Infants, and Children (WIC)); **or**

1. Is in a family with total family income that does not exceed the higher of-

* The poverty line, **or**
* 70 percent of the Lower Living Standard Income Level (LLSIL), located at <https://www.doleta.gov/llsil/> ; **or**

1. Is a **homeless individual, or a homeless child or youth (**TEGL 21-16: Homeless youth do not need to meet any additional low-income criteria); **or**
2. **Receives or is eligible to receive a free or reduced price lunch** under the Richard B. Russell National School Lunch Act (42 U.S.C. 1751 et seq.) (TEGL 21-16:When a school does not use individual eligibility criteria to determine who is eligible for free or reduced price lunch, whole school receipt of free or reduced price lunch *cannot be used* to determine WIOA low-income status for ISY. WIOA programs must base low-income status on an individual student’s eligibility to receive free or reduced-price lunch or on meeting one of the other low-income categories under WIOA. Local programs can check with their local school districts for determining whether individual students are eligible to receive free or reduced-price lunch. While the free/reduced lunch low-income category primarily applies to ISY, there is one exception where it could apply to an OSY. If an OSY is a parent living in the same household as a child who receives or is eligible to receive free or reduced-price lunch based on their income level, then such an OSY would meet the low-income criteria based on his/her child’s qualification.**)**; **or**
3. Is a **foster child** on behalf of whom State or local government payments are made (TEGL 21-16: foster youth do not need to meet any additional low-income criteria); **or**
4. Is an **individual with a disability** whose own income meets the income requirement of clause (ii) (*i.e.,* *the poverty line; or 70% of the Lower Living Standard Income Level (LLSIL))* but who is a member of a family whose income does not meet this requirement.

**20 CFR 681.260**: A youth who lives in a **high poverty area** is automatically considered to be a low-income individual. A high poverty area is a Census tract, a set of continuous Census tracts, an American Indian Reservation…or other tribal land as defined by the Secretary in guidance or county that has a poverty rate of at least 25% as set every 5 years using American Community Survey 5-Year data. SEE TEGL 21-16, Attachment 2 To determine the poverty rate for your county go to the American Fact Finder homepage at [www.FactFinder.Census.Gov](http://www.FactFinder.Census.Gov) *\*ESD Policy recommends printing the webpage to use as documentation.*

**ESD WS System Policy 1019, Rev. 4:** Unemployed individuals do not automatically meet local parameters regarding low-income. The intent is to prioritize services to individuals based on family income (low-income). To determine whether an individual is low-income under the definition at WIOA Section 3(36), it is also necessary to consider family size and family income

### Family Size

**20 CFR 675.300:** Two or more persons related by blood, marriage, or decree of court, who are living in a single residence, and are included in one or more of the following categories:

* A married couple and dependent children,
* A parent or guardian and dependent children; or
* A married couple

**TEGL 21-16:** If an individual is not living in a single residence with other family members, that individual is not a member of a family for the purposes of WIOA income calculations

### Individual with a Disability

**ESD WS System Policy 1019, Rev. 4:** Based on 20 CFR 681.280, even if the family of a disabled individual does not meet the income eligibility criteria, the disabled individual may be considered a low-income individual if their income meets the income criteria of WIOA Section 3(36)(A) or 3(36)B).

Disabled individuals would be considered a family of one and only their income considered in determining low-income.

**WIOA sec. 3(25):** An individual with a disability as defined in [section 3 of the Americans with Disabilities Act of 1990](https://www.law.cornell.edu/uscode/text/42/12102) (42. U.S.C. 12102) means, with respect to an individual:

* A physical or mental impairment that substantially limits one or more major life activities of such individual;
* A record of such an impairment; or
* Being regarded as having such impairment.

### Dependent

**20 CFR 681.250 Department’s response, page 56167:** When determining when a youth is a dependent, use the [IRS definition of dependent](https://www.irs.gov/publications/p17/ch03.html#en_US_2015_publink1000170876)

**ESD WS System Policy 1019, Rev. 4:** See Section 5.6.3 of the policy handbook for options for defining dependent youth. If LWDBs choose to identify youth in circumstances 1 and 3 of Section 5.6.3 of the ESD WS System Policy 1019, Rev. 4 Handbook as independent, the definition must be made explicit in local procedures to eliminate any confusion for the purpose of determining family size when making eligibility determinations for the WIOA Title I youth and adult programs. LWDBs have the authority to develop additional criteria consistent with state and federal guidance to help staff determine family size and income for the purpose of determining WIOA Title I youth and adult program eligibility.

**Definition**

**WIOA Sec. 3(54); ESD Policy 1019, Rev. 4:** The term “school dropout” means an individual who is no longer attending any school and who has not received a secondary diploma or its recognized equivalent.

**TEGL 21-16:** As discussed TEGL 08-15, an individual who has dropped out of postsecondary education is not a “school dropout” for purposes of youth program eligibility.

A dropout only includes an individual who is currently a secondary school dropout and does not include a youth who previously dropped out of secondary school but subsequently returned.

**ETA 9170:** Notattending school or is a Secondary School Dropout: At program entry, is not within the age of compulsory school attendance and is no longer attending any school and has not received a secondary school diploma or its recognized equivalent.

**ISY / OSY Determinations**

**20 CFR 681.230**: WIOA youth programs may consider a youth to be **OSY** for purposes of WIOA youth program eligibility if he or she attend adult education provided under Title II of WIOA, Youth Build, Job Corps, high school equivalency programs, or dropout re-engagement programs regardless of the funding sources of those programs.

Youth attending high school equivalency programs funded by the public K-12 school system who are classified by the school system as still enrolled in school are an exception; they are considered **ISY**.

**Determining School Drop Out Status and 75% Expenditure Requirement**

**20 CFR 681.240**: Local WIOA youth programs must verify a youth’s dropout status at the time of WIOA youth program enrollment.

An individual who is out of school at the time of enrollment, and subsequently placed in any school, is an OSY for the purposes of the 75% expenditure requirement for OSY throughout his/her participation in the program.

## Basic Skills Deficient and Low Income

**BSD Score**

**ESD WS Policy 1011, Rev. 6:** Basic Skills Deficiency is denoted by a CASAS score of 238 or below in reading or 235 or below in math.

**Applies To:**

ISY

OSY who have a diploma or equivalent

Individuals who are English Language Learners (ELL)

**Definition**

**WIOA Sec. 3(5):** A youth who has English reading, writing, or computing skills at or below the 8th grade level on a generally accepted standardized test; **or** a youth or adult who is unable to compute or solve problems, or read, write, or speak English, at a level necessary to function on the job, in the individual’s family, or in society.

**Accommodation Requirement**

**20 CFR 681.290 (c):** In assessing basic skills, local programs must use assessment instruments that are valid and appropriate for the target population, and must provide reasonable accommodation in the assessment process, if necessary, for individuals with disabilities.

**CASAS Required Assessment Tool**

**ESD WIOA Policy 1011, Rev. 6:** ESD has approved CASAS tests as the only standard tools to determine BSD used for program enrollment. The Appraisal test must be given first (prior to the pre-test) to determine the appropriate level and form of the pre-test to be used. The CASAS appraisal test cannot be used in lieu of the CASAS pre-test to determine BSD. If using the Locator (e-test), the appraisal and pre-test are combined. When using the e-test format (called Locator), administration of CASAS to determine BSD is completed in one-step. Pre-testsdetermine BSD and EFL

**Documentation Requirements**

**TEGL 23-19:** Self-attestation *is not acceptable* for validating BSD.

**ESD WIOA Policy 1011, Rev. 6:** *BSD must be documented in the ETO WIOA Eligibility Application:*

**1.** On the “Barriers” tab of the WIOA Eligibility Application, click the “yes” radio button for Basic Literacy Skills Deficiency.

**2.** On the dropdown list for BSD Verification, choose “Standardized Assessment Test”

**3.** Go to the “Notes” tab of the WIOA Eligibility Application and document the date of the test, score(s), name of the person or entity administering the test and any other supporting details.

Note: Staff must not upload into the case management system or retain in hard files any CASAS document(s) that contain test questions or other sensitive testing information.

## English Language Learner and Low Income

**Applies To:**

ISY

OSY who have a diploma or equivalent

**Definition**

**WIOA Sec. 3(21, WIOA Title II Sec. 203(7); DOL ETA PIRL:** An eligible individual who has limited ability in reading, writing, speaking, or comprehending the English language, **and** whose native language is a language other than English; **or** who lives in a family or community environment where a language other than English is the dominant language.

## Offender, Ex-Offender

**Applies To:**

ISY

OSY

**Definition**

**WIOA Sec. 3(38)**: An adult or juvenile who- Is or has been subject to any stage of the criminal justice process, and for whom services under this Act may be beneficial; **or** requires assistance in overcoming artificial barriers to employment resulting from a record of arrest or conviction.

**ETA 9170 (PIRL):** If the participant, at program entry who either: Has been subject to any stage of the criminal justice process for committing a status offense or delinquent act **or** requires assistance in overcoming barriers to employment resulting from a record of arrest or conviction.

**WIN 0084 & ESD WS System Policy 1019, Rev. 4**:

An individual who has been charged with an offense, but subsequently directed to a community-based diversion program rather than the formal court system meets the definition of having been “subject to any stage of the criminal justice process” due to **having been *charged* with an offense**, even though that individual has not been remanded to the court system.

**Reporting/MIS Requirement**

**WIN 0084**:

When “offender” is solely relied on for eligibility purposes (ISY Category 3 or OSY Category 4), DOL has stated that the offender status must be captured and reported (in MIS) so DOL and Congress can know whether or not states and local areas are adequately serving individuals with, as in this case, employment barriers related to ex-offender status.

## Homeless, Runaway

**Applies To**

ISY

OSY

**Definition**

**20 CFR 681.210(5)-OSY and 20 CFR 681.220(4)-ISY:** A homeless individual aged 16-24(OSY) or 14-21(ISY) who meets the criteria defined in sec. 41403(6) of the Violence Against Women Act of 1994; a homeless child or youth aged 16-24 (OSY) or 14-21 (ISY) who meets the criteria defined in sec. 725(2) of the McKinney-Vento Homeless Assistance Act; or a run away.

[**Violence Against Women Act of 1994**](https://www.law.cornell.edu/uscode/text/42/14043e-2) [42 U.S.C. 14043e-2(6)]: **Definition of Homeless**: An individual who lacks a fixed, regular, and adequate nighttime residence; and includes an individual who-

* Is sharing the housing of other persons due to loss of housing, economic hardship, or a similar reason;
* Is living in a motel, hotel, trailer park, or campground due to the lack of alternative adequate accommodations;
* Is living in an emergency or transitional shelter;
* Is abandoned in a hospital; or
* Is awaiting foster care placement.
* An individual who has a primary nighttime residence that is a public or private place not designed for or ordinarily used as a regular sleeping accommodation for human beings; or
* Migratory children (as defined in section 6399 of title 20) who qualify as homeless under this section because the children are living in circumstances described in this paragraph.

[**McKinney-Vento Homeless Assistance Act**](https://www.law.cornell.edu/uscode/text/42/11434a)[42.U.S.C. 11434a(2)], section 725(2) **Definition of Homeless:** The term homeless children and youth means individuals who lack a fixed, regular, and adequate nighttime residence and includes –

* Children and youth who are sharing the housing of other persons due to loss of housing, economic hardship, or a similar reason; are living in motels, hotels, trailer parks, or camping grounds due to the lack of alternative adequate accommodations; are living in emergency or transitional shelters; are abandoned in hospitals; or are awaiting foster care placement;
* Children and youth who have a primary nighttime residence that is a public or private place not designed for or ordinarily used as a regular sleeping accommodation for human beings;
* Children and youth who are living in cars, parks, public spaces, abandoned buildings, substandard housing, bus or train stations, or similar settings; and
* Migratory children who qualify as homeless for the purposes of this subtitle.

**Low Income**

**WIOA Sec. 3(36)(A):** In general, the term “*low income individual*” means an individual who-Is a *homeless* individual, or a homeless child or youth

**TEGL 21-16**: Homeless youth do not need to meet any additional low-income criteria

## Foster Care Youth (In Foster Care or Aged Out of System)

**Applies To**

**ISY**

**OSY**

**Definition**

**20 CFR 681.210(6) and .220(5):** An individual in foster care or who: has aged out of the foster care system, **or** who has attained 16 years of age and left foster care for kinship guardianship or adoption, **or** a child eligible for assistance under sec. 477 of the Social Security Act (42 U.S.C. 677), **or**in an out-of-home placement.

**ETA 9170:** At program entry, is a person aged 24 or under who is currently in foster care or has aged out of the foster care system.

## Pregnant or Parenting Youth

**Applies To**

**ISY**

**OSY**

**Definition**

**TEGL 23-19**: A person who is pregnant, or an individual (male or female) who is providing custodial care for one or more dependents under age 18.

**TEGL 21-16:** An individual who is parenting can be a mother or father, custodial or non-custodial. As long as the youth is within the WIOA youth age eligibility, the age when the youth became a parent does not factor into the definition of parenting. A pregnant individual can only be the expectant mother.

**ESD WS System Policy 1019, Rev. 4:** One important distinction is that the father does not attain to parenting status under WIOA until the child is born; that status does not convey to the father during pregnancy. To be clear, only the expectant mother can be a pregnant individual.

**Single Parent**

**ETA 9170 (PIRL):**

If the participant, at program entry, is single, separated, divorced or a widowed individual who has primary responsibility for one or more dependent children under age 18 (including single pregnant women).

## Individual with a Disability

**Applies To**

ISY

OSY (low income is not required for OSY)

**Definition**

**WIOA Sec. 3(25); DOL ETA PIRL:** An individual with a disability as defined in [section 3 of the Americans with Disabilities Act of 1990](https://www.law.cornell.edu/uscode/text/42/12102) (42. U.S.C. 12102) means, with respect to an individual –

* A physical or mental impairment that substantially limits one or more \*major life activities of such individual;
* A record of such an impairment; or
* \*\*Being regarded as having such an impairment.

**\****Major life activities*include but are limited to caring for oneself, performing manual tasks, seeing, hearing, eating, sleeping, walking, standing, lifting, bending, speaking, breathing, learning, reading, concentrating, thinking, communicating, and working.

*Major life* activities also include the operation of a major bodily function, including but not limited to functions of the immune system, normal cell growth, digestive, bowel, bladder, neurological, brain, respiratory, circulatory, endocrine, and reproductive functions.

*\*\*Being regarded as having such an impairment*means the individual establishes that he or she has been subjected to an action prohibited under this chapter because of an actual or perceived physical or mental impairment whether or not the impairment limits or is perceived to limit a major life activity.

## Youth Who Needs Additional Assistance and Low Income

**Applies To**

ISY

OSY; OSY must also be low-income

**5% Enrollment Limitation (ISY Only)**

**WIOA Section 129(a)(3)(B) and 681.310:**  Limitation on in-school youth requiring additional assistance.

In any single program year, **no more than 5% of a local area’s total in-school youth** participants can be those who require additional assistance to complete an educational program or to secure or hold employment.

**Policy Requirement**

**ESD WS System Policy 1019, Rev. 4**: LWDBs that (use this criterion for eligibility), must establish a local policy that defines “requires additional assistance to complete an educational program or to secure or hold employment” criterion and documentation requirements. LWDBs must develop local parameters and policy for definition of “Requires Additional Assistance”

**TEGL 21-16:** The policies established at the State or local level should be reasonable, quantifiable, and based on evidence that the specific characteristic of the youth identified in the policy objectively requires additional assistance.

## Exception to Low Income Eligibility Requirement

**Applies To** *(ESD WS System Policy 1019, Rev. 4):*

All In-school youth, and

Out-of-school youth who meet the following eligibility criteria:

* A recipient of a secondary school diploma or its recognized equivalent who is either basic skills deficient or an English language learner; or
* Requires additional assistance to enter or complete an educational program or to secure or hold employment.

**5% Enrollment Limitation & Calculation requirement** *(All Youth who must meet the low-income criteria)*

**20 CFR 681.250(c):**

WIOA allows a low-income exception where 5% of WIOA youth may be participants who ordinarily would be required to be low-income for eligibility purposes and meet all other eligibility criteria for WIOA youth except the low-income criteria.

A program must calculate the 5% based on the percent of newly enrolled youth in the local area’s WIOA youth program in a given year who would ordinarily be required to meet the low-income criteria.

**TEGL 21-16:** This percent is calculated at the end of a program year based on new enrollees in that program year.

**Reporting/MIS Requirement:**

Evan Rosenberg, Division of Youth Services, DOL ETA, “WIOA Youth Eligibility Live Q&A Session” on WorkforceGPS October 24, 2017:

* MIS will only capture those youth in which this is the only eligibility criteria recorded in the system.
* If the participant has other barriers, ensure the other eligibility barriers are recorded in MIS and case notes to ensure the participant is not captured in the 5% limit.

# Objective Assessment

**Requirements**

**WIOA Sec. 129(c)(1)(A):** The **objective assessment shall include** **a review of the following** for the purpose of identifying appropriate services and career pathways for participants:

**Basic skills;**

**TEGL 21-16:** For purposes of the basic skills assessment portion of the objective assessment, local programs are not required to use assessments approved for use in the Department of Education’s National Reporting System (NRS), nor are they required to determine an individual’s grade level equivalent or educational functioning level (EFL-i.e., CASAS), although use of these tools is permitted. Rather, local programs, may use other formalized testing instruments designed to measure skills-related gains. Alternatively, skills related gains may also be determined through less formal alternative assessment techniques such as observation, folder reviews, or interviews. The latter may be particularly appropriate for youth with disabilities given accessibility issues related to formalized instruments. Local programs may use previous basic skills assessment results if such previous assessments have been conducted within the past six (6) months. In contrast to the initial assessment described above if measuring EFL gains after program enrollment under the measurable skill gains indicator, local programs must us an NRS-approved assessment (i.e., CASAS) for both the EFL pre- and post-test to determine an individual’s educational functioning level (EFL).

* Occupational skills;
* Prior work experience;
* Employability;
* Interests,
* Aptitudes (including interests and aptitudes for nontraditional jobs);

**TEGL 21-16:** All youth, including youth with disabilities, can benefit from participation in career assessment activities, including, but not limited to, assessments of prior work experience, employability, interests, and aptitudes. Multiple assessment tools may be necessary since there is no standard approach that will work for all youth, including youth with disabilities. Career assessments help youth, including those with disabilities, understand how a variety of their personal attributes (e.g., interests, values, preferences, motivations, aptitudes, and skills) affect their potential success and satisfaction with different career options and work environments. Youth also need access to reliable information about career opportunities (based on labor market information) that provide a living wage, including information about education, entry requirements and income potential. These assessments may be provided directly through WIOA youth programs staff, and/or through referrals to national and community-based partners and resources. Supportive service needs; and Developmental needs

**20 CFR 681.420(a)(1):** Provide for an objective assessment of each youth participant that meets the requirements of WIOA Sec. 129(c)(1)(A), and includes a review of the academic and occupational skill levels, as well as the **service needs and strengths** of each youth for the purpose of identifying appropriate services and career pathways for participants and **informing the individual service strategy**.

**TEGL 21-16:** Assessments **must** *also consider a youth’s strengths* rather than just focusing on areas that need improvement.

**TEGL 33-12**: Assessment *should be an ongoing process*, continually reviewing participant interests, abilities, etc., that allows the case manager an opportunity to evaluate how effective services are in meeting particular needs and ensuring flexibility in adapting service delivery strategies to youth’s needs and employment goals. (Per ESD Policy Unit: There is no set standard or frequency for the determination of ongoing assessments, other than assessments should be documented as they occur.)

**Objective Assessment & Program Enrollment**

**WIOA Final Rule, narrative page 56170:** The Department has added 681.320(b)(2) to clarify that the point of program participation *does not* *begin* until **after** the youth is determined eligible, the youth receives an objective assessment **and** the youth participates in 1 of the 14 program elements.

**20 CFR 681.320(b)(2):** In order to be a participant in the WIOA youth program, the participant must have received an objective assessment.

**Participation**

**TEGL 19-16**: An objective assessment carried out under WIOA sec. 129(c)(1)(A) *does not trigger* participation in the Youth program.

**Reporting/MIS Requirements**

Per guidance received by the ESD Monitoring Unit from ESD Policy and Performance units on 8-30-18, Objective Assessments do not equate to a service, are not reported to DOL, and therefore do not need to be recorded in ETO.

# Individual Service Strategy (ISS)

**Requirements**

**WIOA Sec. 129(c)(1)(B):**ISS’s must be directly linked to 1 or more of the performance indicators described in WIOA section 116(b)(2)(A)(ii) and identify career pathways that include:

* education and employment goals (including, in appropriate circumstances, nontraditional employment),
* appropriate achievement objectives, and
* appropriate services for the participant taking into account the results of the objective assessment.

**WIOA Final Rule, narrative page 56177:** The Department does require the program elements provided to a youth to align with the goals the youth set forth in the ISS. Case managers must update the ISS on an on-going basis and document, among other items, the services provided and participant’s progress, activities completed, benchmarks reached, and any other accomplishments. Case managers must document this information regardless of who provides the element.

**20 CFR 681.420(a)(2):** The design framework of local youth programs must develop, and update as needed, an individual service strategy based on the needs of each youth participant that:

* is directly linked to one or more indicators of performance described in WIOA sec. 116(b)(2)(A)(ii),
* identifies career pathways that include education and employment goals,
* considers career planning and the results of the objective assessment and
* prescribes achievement objectives and services for the participant.

**TEGL 33-12:** The ISS is a detailed, unique, individual strategy for each participant that is the basis for the overall case management strategy. The ISS should be a living document, reviewed and updated on an ongoing basis. (ESD Policy Unit: Frequency and type of documentation is determined at the local level.) The case manager should use the ISS to update strategies and activities as they occur and/or as life changes require, and to document referral and contact information for services obtained from partner organizations. When reviewing the ISS, case managers should document a participant’s progress, activities completed, benchmarks reached and any other accomplishments. The ISS should be developed and modified in partnership with the participant and should document achievements in measurable and attainable short-term and long-term goals that both reflect the young person’s interests and incorporate career pathway planning.

**Reporting/MIS Requirement**

Per guidance received by the ESD Monitoring Unit from ESD Policy and Performance units on 8-30-18, ISS’s do not equate to a service, are not reported to DOL, and therefore do not need to be recorded in ETO.

# 14 Program Elements

**Requirements**

**ISS ALIGNMENT**

**WIOA Final Rule, Department’s response page 56177:** While the Department does not require a local youth service provider to pay for all program elements, the Department *does require* the program elements provided to a youth to align with the goals the youth set forth in the ISS.

**Be Made Available**

**20 CFR 681.460:** Local programs must make each of the following 14 services available to youth participants:

(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 individuals with disabilities) or for a recognized postsecondary 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:

(i) Summer employment opportunities and other employment opportunities available throughout the school year;

(ii) Pre-apprenticeship programs;

(iii) Internships and job shadowing; and

(iv) On-the-job training opportunities;

(4) \*Occupational skills training, which includes priority consideration for training programs that lead to recognized postsecondary credentials that align with in-demand industry sectors or occupations in the local area involved, if the Local WDB determines that the programs meet the quality criteria described in WIOA sec. 123;

\*Do NOT Record “Training Paid by Other”, WIN 0089:

* For WIOA Youth programs only, DOL has said [service providers] should report a Youth program element as if it were funded by the WIOA program, regardless of the funding source.
* As such, there is no federal reporting requirement to enter the service as “Paid by Other”

(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, including the services listed in § 681.570;

(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, as provided in § 681.580;

(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; and

(14) Activities that help youth prepare for **and** *transition to postsecondary education and training.*

**Participation**

**TEGL 10-16, Change 1, Attachment 7, Table B:** All youth program elements trigger participation following eligibility determination, objective assessment, and completion of the ISS;

**LWDB Partner Agreement Requirements**

**20 CFR 681.470**: The local area must ensure that if a program element is not funded with WIOA youth funds, the local program has an agreement in place with a partner organization to ensure that the program element will be offered. The Local Board must ensure that the program element is closely connected and coordinated with the WIOA youth program.

**WIOA Final Rule, narrative page 56177:** “By closely connected and coordinated, the Department means that case managers must contact and monitor the provider of the non-WIOA-funded activity to ensure the activity is of high quality and beneficial to the youth participant.” The case manager must check on the provider of the non-WIOA-funded activity and make sure the youth participant gets quality services that match the program elements

**14 Program Elements & Program Enrollment**

**WIOA Final Rule, narrative page 56170:** Point of program participation does not begin until *after* the youth is determined eligible, the youth receives an objective assessment and the youth participates in 1 of the 14 program elements.

**20 CFR 681.320(b)(3):** In order to be a participant in the WIOA youth program, the youth must participate in any of the 14 WIOA youth program elements. Case managers providing case management should not be reported as one of the 14 youth program elements in the PIRL.

**WIN 0092:** The state directs Title I youth case managers to ensure the Title I youth receive at least one WIOA youth program element and that the service(s) are recorded in the system to ensure those youth become participants.

**Determining and Providing services**

**20 CFR 681.460(b):** Local programs have the discretion to determine what specific program services a youth participant receives, based on each participant’s objective assessment and individual service strategy. Local programs are not required to provide every program service to each participant.

**Reporting**

**TEGL 10-16, Change 1, Attachment 7, Table B:** All youth program elements are considered “Career Services” with the exception of occupational skills training which is categorized as “training”. Note that the categorization of career and training services for youth differs from the Adult and DW programs

**TEGL 21-16:** Documenting receipt of program elements is critical to ensure that youth who are actively participating in programs do not get unintentionally exited due to 90 days of no service. All 14 WIOA youth program elements are contained in the PIRL and local youth programs should ensure that services received are reported in the applicable program element in the PIRL.Case management is the act of connecting youth to appropriate services and is not a program element.

**Reporting/MIS Data Entry Requirements**

**WIN 0082, Change 1:** Services must be entered at the point in time they are delivered, if services cannot be entered at the time they are delivered, Basic Services and ITSS services must be entered *within 14 calendar days* of service delivery and the *service date entered must always reflect the date the service was delivered*.

**ESD Policy 1023 – Co-enrolled Integrated Service Delivery Policy and Operations Manual Handbook:** All services must be linked to an Active Program Enrollment.

**ESD Policy 1020 Data Integrity and Performance Policy and Handbook:** Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system. Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.

**WIN 0089, Effective February 9, 2018:** For WIOA Youth programs only, DOL has said [service providers] should report a Youth program element as if it were funded by the WIOA program, regardless of the funding source. If a WIOA Youth participant receives program elements from another service provider, the WIOA Youth provider should record these in MIS in the same way as they would if the WIOA Youth program provided the component. As such, there is no federal reporting requirement to enter the service as “Paid by Other”. In terms of supporting documentation, DOL expects to find references to youth program elements delivered by non-WIOA providers in ISS or case notes.

# Program Enrollment

## Date of Program Entry, Participation

**Participation**

**20 CFR 681.320(b):** In order to be a participant in the WIOA youth program, all the following *must* occur:

* The collection of information to support an eligibility determination;
* The provision of an objective assessment;
* Development of an individual service strategy, and
* Participation in any of the 14 WIOA youth program elements.

**WS System Policy 1020 Handbook**: Date of participation is initiated by the first program-funded qualifying service.

**TEGL 10-16, Change 1:** A reportable individual is considered a participant when he/she has satisfied all the applicable program requirements for the provision of services, including:

* Eligibility determination,
* An objective assessment,
* Development of an individual service strategy, *and*
* Received one of the 14 WIOA Youth program elements.

**ESD Policy 1023 – Co-enrolled Integrated Service Delivery Policy and Operations Manual Handbook:** The job seeker is counted in the service pool when a qualifying service is recorded *and* linked to an Active Program Enrollment. All services must be linked to an Active Program Enrollment.

**WIN 0089:** DOL has implemented a new edit check for the PIRL that rejects any Title I youth record that shows an enrollment into the program but no affiliated record of at least one recognized WIOA youth program element. The State directs Title I youth case managers to ensure the Title I youth receive at least one WIOA youth program element and that the service(s) are recorded in the system to ensure those youth become participants.

**Services that Trigger Participation**

**TEGL 10-16, change 1:**

|  |  |
| --- | --- |
| * Tutoring, study skills training, dropout prevention * Alternative secondary school services * Paid and unpaid work experience * Occupational skills training * Education offered concurrently with workforce preparation * Leadership development * Supportive services | * Adult mentoring * Comprehensive guidance and counseling * Financial literacy education * Entrepreneurial skills training * Services that provide labor market information * Postsecondary preparation and transition activities |

**Program Enrollment**

**WIOA Joint Rule, Departments’ response pages 55845**: The Departments emphasize that programs must not delay enrollment or prohibit participants from entering a program late in the program year. All participant outcomes, regardless if achieved at the end of the reporting period in which they enrolled or in the next reporting period, count as positive outcomes for the program.

**Evan Rosenberg, Division of Youth Services, DOL ETA, “WIOA Youth Eligibility Live Q&A Session” on WorkforceGPS October 24, 2017***: Do not enroll an individual into the WIOA Youth program until:*

* Eligibility has been determined,
* an Objective Assessment has been facilitation,
* an ISS has been developed *and*
* one (1) if the 14 Elements has been provided.

**Allowable and Unallowable Expenses Prior to Eligibility Determination**

**TEGL 21-16:** Youth funds can be expended on outreach and recruitment or assessment for eligibility determination prior to eligibility determination, but they cannot be spent on youth program services, such as the 14 program elements prior to eligibility determination.

**Reporting/MIS data Entry Requirements:**

**WIN 0082, Change 1:** Services must be entered at the point in time they are delivered; If services cannot be entered at the time they are delivered, Basic Services and ITSS services must be entered *within 14 calendar days* of service delivery and the service date entered must always reflect *the date the service was delivered*.

**ESD Policy 1023 – Co-enrolled Integrated Service Delivery Policy and Operations Manual Handbook:** All services must be linked to an Active Program Enrollment.

**ESD Policy 1020 Data Integrity and Performance Policy and Handbook:** Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system. Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.

**TEGL 23-19: Record the date** on which an individual became a participant satisfying applicable programmatic requirements for the provision of services.

## Concurrent Program Enrollment (e.g., Youth/Adult; Youth/DW)

**WIOA Adult/WIOA Youth Co-enrollment**

**TEGL 19-16**: WIOA creates an opportunity for the Adult program to work closely with the Youth program to ensure young adults receive the services they need to succeed in education and the workforce. *Individuals aged 18-24 may be eligible for both the WIOA Youth and Adult programs and can be co-enrolled in the two programs.* ETA encourages the WIOA Adult and Dislocated Worker programs, along with the ES program, to coordinate closely with the WIOA Youth program to maximize flexibility and service delivery to eligible populations.

* Some examples where enhanced coordination could take place are as follows: (Note: This is not an exhaustive list of ways to coordinate activities and service delivery but is meant to illustrate some of WIOA’s flexibilities and services to improve educational and employment opportunities for participants.)
* Referring 18-24-year-old individuals to the Title I Youth program if they need more intensive support around specific program elements described under WIOA sec. 129(c)(2).
* Utilizing WIOA Adult formula program funded ITAs as part of a career pathway strategy for Youth program participants co-enrolled as adults or dislocated workers;
* Utilizing work-based training opportunities for Youth program participants co-enrolled as adults or dislocated workers, as identified in their Individual Service Strategy (ISS) as part of a career pathway; and
* Career pathway planning.

**Determining Appropriate Services**

**TEGL 19-16**: Local program operators may determine, for these individuals, the appropriate level and balance of services under the Youth and Adult programs.

* Such determinations regarding the appropriate program for the participant must be based on the service needs of the participant and if the participant is career-ready based on an assessment of his/her occupational skills, prior work experience, employability, and the participant’s needs.
* An important difference to note here is that while receiving an assessment from the Adult, Dislocated Worker, or ES programs does trigger participation and inclusion in the performance accountability calculations for those programs, an objective assessment carried out under WIOA sec. 129(c)(1)(A) does not trigger participation in the Youth program.

**Tracking of Funds**

**TEGL 19-16** Local program operators must **identify and track the funding streams** which pay the costs of services provided to individuals who are participating in Youth and Adult programs concurrently, and ensure no duplication of services.

## Veteran Status at Participation (Youth Age 18 or older, Data Validation Purposes Only)

**Definitions**

**WIOA Sec. 3(63):** The term “veteran” has the meaning given the term in section 101 of title 38, Unites States Code. The term “**recently separated veteran**” means any veteran who applies for participation under this Act within 48 months after the discharge or release from active military, naval, or air services. **38 U.S.C. 101:** The term “**veteran”** means a person who served in the active military, naval, or air service, and who was discharged or released therefrom under conditions other than dishonorable.

**PRIORITY OF SERVICE**

**20 CFR 680.650**: Veterans under WIOA receive priority of service in all DOL funded training programs.

**Income Not Required**

**20 CFR 680.650**: For income-based eligibility determinations, **amounts paid while on active duty or paid by the Department of Veterans Affairs (VA) for vocational rehabilitation, disability payments, or related VA-funded programs are not to be considered as income** in accordance with 38 U.S.C. 4213 and 20 CFR 683.230. See also **TEGL 3-15** (page 7).

**20 CFR 683.230**: When past income is an eligibility determinant for Federal employment or training programs, any amounts received as military pay or allowances by any person who served on active duty, and certain other specified benefits must be disregarded for the veteran and for other individuals for whom those amounts would normally be applied in making an eligibility determination. This applies when determining if a person is a “low-income individual” for eligibility purposes (for example, WIOA youth).

**Documentation Required**

**TEGL 23-19:** DD-214 **or** a letter from the Veteran’s Administration

**Note:** The documentation must include the dates of service and indicate the veteran was discharged or released from such duty with other than a dishonorable discharge

## Employment Status at Participation

**Employment Status Definitions - Federal Register Vol. 80, No. 140; ETA 9170-WIOA PIRL**:

* **Employed**: At program entry,
  + - Is currently performing any work at all as a paid employee;
    - Is currently performing any work at all in his or her own business, profession, or farm;
    - Is currently performing any work as an unpaid worker in an enterprise operated by a member of the family, or
    - Is one who is no working, but currently has a job or business from which he or she is temporarily absent because of illness, bad weather, vacation, labor-management dispute, or personal reason, whether or not paid by the employer for time-off, and whether or not seeking another job.
* **Employed, but Received Notice of Termination of Employment or Military Separation**: At program entry, is a person who, although employed, either
  + - Has received a notice of termination of employment or the employer has issued a Worker Adjustment and Retraining Notification (WARN) or other notice that the facility or enterprise will close, or
    - Is a transitioning service member (i.e., within 12 months of separation or 24 months of retirement).
* **Not in the Labor Force:** At program entry, is not in the labor force (i.e., those who are not employed and are not actively looking for work, including those who are incarcerated).
* **Actively Seeking Employment:** At program entry is not employed but is seeking employment, makes specific effort to find a job, and is available for work.

**Reporting - WIOA Joint Rule, Departments’ response, page 55849:** Employment status at enrollment*does not* *impact performance indicators* for employment during the 2nd and 4th quarters after exit.

# Services – Program Elements

## PE# 1 Tutoring, Study Skills Training, Instruction, and Dropout Prevention

**MIS:**

**WIN 0077, Change 9; WorkSource Service Catalog:** Tutoring, Study Skills Training, Instruction, and Dropout Prevention (Youth Only):

* Tutoring, study skills training, and instruction provided in addition to regular in-school instruction that lead to a high school diploma are services that focus on providing academic support, helping a youth identify areas of academic concern, assisting with overcoming learning obstacles, and providing tools and resources to develop learning strategies.
* These services can be provided one-on-one, in a group setting, through resources and workshops.
* Secondary school dropout prevention strategies intended to lead to a high school diploma are also included in this youth element and include services and activities that keep a young person in-school and engaged in a formal learning and/or training setting.
* Strategies include but are not limited to tutoring, literacy development, active learning experiences, after-school opportunities, and individualized instruction.

**Definition**

**TEGL 21-16:** In 20 CFR 681.460(a)(1), this is the first program element listed and includes “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 individuals with disabilities) or for a recognized postsecondary credential.”

**Tutoring, study skills training, and instruction that lead to a high school diploma**:Such services focus on:

* providing academic support,
* helping a youth identify areas of academic concern,
* assisting with overcoming learning obstacles, and
* providing tools and resources to develop learning strategies.
* tutoring, study skills training, and instruction can be provided one-on-one, in a group setting, through resources and workshops.

**Secondary school dropout prevention strategies intended to lead to a high school diploma:** Secondary school dropout prevention strategies include services and activities that keep a young person in-school and engaged in a formal learning and/or training setting. Strategies include, but are not limited to:

* tutoring,
* literacy development,
* active learning experiences,
* after-school opportunities, *and*
* individualized instruction.

**Reporting/MIS Data Entry Requirements**

**WIN 0082, Change 1:** Services must be entered at the point in time they are delivered; If services cannot be entered at the time they are delivered, Basic Services and ITSS services must be entered **within 14 calendar days** of service delivery and the **service date entered must always reflect** **the date the service was delivered**.

**ESD Policy 1023 – Co-enrolled Integrated Service Delivery Policy and Operations Manual Handbook:**

All services must be linked to an Active Program Enrollment.

**ESD Policy 1020 Data Integrity and Performance Policy and Handbook:** Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system. **Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.**

**WIN 0089, Effective February 9, 2018:** For WIOA Youth programs only, DOL has said [service providers] should report a Youth program element as if it were funded by the WIOA program, regardless of the funding source. If a WIOA Youth participant receives program elements from another service provider, the WIOA Youth provider should record these in MIS in the same way as they would if the WIOA Youth program provided the component. As such, there is no federal reporting requirement to enter the service as “Paid by Other”. In terms of supporting documentation, DOL expects to find references to youth program elements delivered by non-WIOA providers in ISS or case notes.

## PE# 2 Alternative Secondary School Services or Dropout Recovery Services

**MIS:**

**WIN 0077, Change 9; WorkSource Service Catalog:** Alternative Secondary School Services or Dropout Recovery Services (Youth Only):

* Alternative secondary school services, such as basic education skills training, individualized academic instruction, and English as a Second Language training, are those that assist youth who have struggled in traditional secondary education.
* Dropout recovery services, such as credit recovery, counseling, and educational plan development, are those that assist youth who have dropped out of school.
* While such activities may overlap, each are provided with the goal of helping youth to re-engage and persist in education that leads to the completion of a recognized high school equivalent.

**Definition**

**TEGL 21-16:** Under 20 CFR 681.460(a)(2), **alternative secondary school services**, such as **basic education skills training, individualized academic instruction, and English as a Second Language training**, are those that assist **youth who have struggled in traditional secondary education**.

* Dropout recovery services, such as credit recovery, counseling, and educational plan development, are those that assist youth who have dropped out of school.
* While the activities within both types of services may overlap, each are provided with the goal of helping youth to re-engage and persist in education that leads to the completion of a recognized high school equivalent.

**TEGL 23-19 and ETA 9170 (PIRL): A Secondary Education Program includes both secondary school and enrollment in a program of study with instruction designed to lead to a high school equivalent credential.**

* Examples may include adult high school credit programs and programs designed to prepare participants to pass recognized high school equivalency exams such as GED.
* Programs of study designed to teach English proficiency skills or literacy skills below the 9th grade equivalent are not considered Secondary Education Programs.

**Reporting/ MIS Data Entry Requirements**

**TEGL 21-16:** For documentation purposes, services aimed at getting a youth who has dropped out of secondary education back into a secondary school or alternative secondary school/high school equivalency program and preparing them for high school equivalency attainment, should be counted under program element 2-Alternative Secondary School Services or Dropout Recovery Services. While the statutory and regulatory language for both program elements 1 and 4 include language discussing services leading to recognized postsecondary credentials, training services that lead to recognized postsecondary credentials should be reported under program element 4, Occupational Skills Training to avoid duplicated reporting of services.

**WIN 0082, Change 1:** Services must be entered at the point in time they are delivered; If services cannot be entered at the time they are delivered, Basic Services and ITSS services must be entered *within 14 calendar days* of service delivery and the **service date entered must always reflect** **the date the service was delivered**.

**ESD Policy 1023 – Co-enrolled Integrated Service Delivery Policy and Operations Manual Handbook:** All services must be linked to an Active Program Enrollment.

**ESD Policy 1020 Data Integrity and Performance Policy and Handbook:** Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system. **Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.**

**WIN 0089, Effective February 9, 2018:** For WIOA Youth programs only, DOL has said [service providers] should report a Youth program element as if it were funded by the WIOA program, regardless of the funding source. If a WIOA Youth participant receives program elements from another service provider, the WIOA Youth provider should record these in MIS in the same way as they would if the WIOA Youth program provided the component. As such, there is no federal reporting requirement to enter the service as “Paid by Other”. In terms of supporting documentation, DOL expects to find references to youth program elements delivered by non-WIOA providers in ISS or case notes.

**TEGL 23-19 and ETA 9170 (PIRL): Secondary Education:** Record if the participant was enrolled in a Secondary Education Program at or above the 9th Grade level. A Secondary Education program includes both secondary school and enrollment in a program of study with instruction designed to lead to a high school equivalent credential. Examples may include adult high school credit programs and programs designed to prepare participants to pass recognized high school equivalency exams such as the GED, HISET, or TASC. Programs of study designed to teach English proficiency skills or literacy skills below the 9th grade equivalent are not considered Secondary Education Programs. States may use this coding value if the participant was either already enrolled in education or training at the time of application to the program OR became enrolled in an education or training program at or above the 9th Grade level at any point while participating in the program.

**Date Enrolled:** Record the date the participant was enrolled during program participation in an education or training program that leads to a recognized post-secondary credential, **including a secondary education program**, or training program that leads to employment as defined by the core program in which the participant participates whether **at program enrollment or at any point while participating in the program**.

* This includes but is not limited to participation in Job Corps or YouthBuild or Adult Education or secondary education programs.
* Note: This data element applies to the Measurable Skill Gains Indicator and specifically will be utilized to calculate the denominator.

**ETA 9170 (PIRL):** Record the date on which the participant’s first training service began.

## PE# 3 Work Experience (WEX)

**MIS:**

WIN 0077, change 9; WorkSource Service Catalog: Paid and Unpaid Work Experience with Academic/Education Component-Employment Opportunities (Youth Only): Paid and unpaid work experiences that have an academic and occupational education component that consists of employment opportunities available throughout the year.

* Paid and Unpaid Work Experience with Academic/Education Component-Internships and Job Shadowing (Youth Only):
* Paid and unpaid work experiences that have as a component academic and occupational education, consisting of internships and job shadowing.
* Paid and Unpaid Work Experience with Academic/Education Component-On-the-Job Training Opportunities (Youth Only)
* Paid and unpaid work experiences that have as a component academic and occupational education, consisting of on-the-job training opportunities.
* Paid and Unpaid Work Experience with Academic/Education Component-Pre-Apprenticeship Programs (Youth Only):
* Paid and unpaid work experiences that have as a component academic and occupational education, consisting of pre-apprenticeship programs.

**Definition**

WIOA Sec. 129(c)(2)(C): Paid and unpaid work experiences that have as a component academic and occupational education, which may include-

* Summer/year-round employment opportunities
* Pre-Apprenticeship programs
* Internships and Job Shadowing
* On-the-Job Training (OJT)

20 CFR 681.600(a) Work experiences are a planned, structured learning experience that takes place in a workplace for a limited period.

**Academic & Occupational Education Requirement**

20 CFR 681.600(b): Work experiences must include academic and occupational education. The educational component may occur concurrently or sequentially with the work experience. Further academic and occupational education may occur inside or outside the work site.

TEGL 21-16: The academic and occupational education component refers to contextual learning that accompanies a work experience. It includes the information necessary to understand and work in specific industries and/or occupations.

* Example: if a youth is in a work experience in a hospital, the occupational education could be learning about the duties of different types of hospital occupations such as a phlebotomist, radiology tech, or physical therapist.
* Whereas, the academic education could be learning some of the information individuals in those occupations need to know such as why blood type matters, the name of a specific bone in the body, or the function of a specific ligament.
* Local programs have the flexibility to determine the appropriate type of academic and occupational education necessary for a specific work experience.
* The academic and occupational educational component may:
* Occur concurrently or sequentially with the work experience;
* Occur inside or outside the worksite;
* Be provided by the work experience employer or be provided separately in the classroom or through other means.
* States and local areas have the flexibility to decide who provides the educational component.

**Types of Work Experiences**

**Job Shadow**

**TEGL 21-16**, *Job Shadowing*: Is a work experience option where youth learn about a job by walking through the workday as a shadow to competent worker. The job shadowing work experience is a temporary, unpaid exposure to the workplace in an occupational area of interest to the participant. Youth witness firsthand the work environment, employability and occupational skills in practice, the value of professional training, and potential career options. A job-shadowing experience can be anywhere from a few hours, to a day, to a week or more. Job shadowing is designed to increase career awareness, help model youth behavior through examples, and reinforce in the youth and young adult the link between academic classroom learning and occupational work requirements.

**Pre-Apprenticeship Program:**

**CFR 681.480 & TEGL 21-16**: A **pre-apprenticeship is a program** designed to prepare individuals to enter and succeed in an apprenticeship program and includes the following elements:

* Training and curriculum that aligns with the skill needs of employers in the economy of the state or region involved;
* Access to educational and career counseling and other supportive services, directly or indirectly;
* Hands-on, meaningful learning activities that are connected to education and training activities, such as exploring career options, and understanding how the skills acquired through coursework can be applied toward a future career;
* Opportunities to attain at least one industry-recognized credential; and
* A partnership with one or more registered apprenticeship programs that assists in placing individuals who complete the pre-apprenticeship program in a registered apprenticeship program.

**TEGL 13-16:** Pre-apprenticeship programs provide instruction and/or training to increase math, literacy, and other vocational and pre-vocational skills needed to gain entry into a Registered Apprenticeship program. A pre-apprenticeship program funded with WIOA must have at least one Registered Apprenticeship partner; such pre-apprenticeship programs must possess or develop a strong record of enrolling their pre-apprenticeship graduates into a Registered Apprenticeship program. Once the participant is enrolled in the Registered Apprenticeship program, and if his/her funding has not been exhausted, a portion and/or the balance of funding may be used to cover the costs of the Registered Apprenticeship program’s classroom training/related instruction.

* Pre-apprenticeship programs do not have the same automatic ETP status under WIOA as do Registered Apprenticeship programs according to DOL-only Regulations 20 CFR 680.470(f). The USDOL does not register or regulate pre-apprenticeship programs.
* Organizations offering pre-apprenticeship training programs that are seeking ETP status are required to go through the same vetting process and performance reporting requirements as all other training providers in the State.
* If the pre-apprenticeship training program is on the ETP list, WIOA funds may be used to fund that program for eligible individuals.
* ITAs also can finance pre-apprenticeship training in preparation for formal RA if they are on the State ETP list.

**On-the-Job Training (OJT):**

**OJT Definition & Design**

**WIOA Sec. 3(44):**The term “on-the-job training” means training by an employer that is provided to a paid participant while engaged in productive work in a job that

* Provides knowledge or skills essential to the full and adequate performance of the job;
* Is made available through a program that provides reimbursement to the employer of up to 50% of the wage rate of the participant, except as provided in section 134(c)(3)(H), for the extraordinary costs of providing the training and additional supervision related to the training; and
* Is limited in duration as appropriate to the occupation for which the participant is being trained, taking into account the content of the training, the prior work experience of the participant, and the service strategy of the participant.

**WIOA Final Rules, page 56149:** OJT is primarily designed to first hire the participant and provide them with the knowledge and skills necessary for the full performance of the job.

**WIOA Final Rules, page 56150:** The Department is not requiring specific OJT duration limitations.

**OJT Displacement and Union Concurrence**

**wioa Sec. 181(b)(2):** A participant in a program or activity authorized under this title shall not displace (including a partial displacement, such as a reduction in hours, wages or benefits) any currently employed employee (as of the date of the participation).

* A specified activity shall not impair an existing contract for services or collective bargaining agreement, and no such activity that would be inconsistent with the terms of a collective bargaining agreement shall be undertaken without the written concurrence of the labor organization and employer concerned.
* A participant shall not be employed in a job if:
* Any other individual is on layoff from the same or any substantially equivalent job;
* The employer has terminated the employment of any regular employee or otherwise reduced the workforce of the employer with the intention of filling the vacancy so created with the participant; or
* The job is created in a promotional line that will infringe in any way upon the promotional opportunities of currently employed individuals (as of the date of the participation).

**OJT Wages & Benefits**

**20 CFR 683.275:** Individual in OJT must be compensated at the same rates, including periodic increase, as trainees or employees who are similarly situated in similar occupations by the same employer and who have similar training, experience, and skills. Such rates must be in accordance with applicable law but may not be less than the higher of the rate specified in sec. 6(a)(1) of the Fair Labor Standards Act of 1938 or the applicable State or local minimum wage law. Individuals in OJT must be provided benefits and working conditions at the same level and to the same extent as other trainees or employees working a similar length of time and doing the same type of work. Allowances, earnings, and payments to individuals participating in programs under WIOA are not considered as income for purposes of determining eligibility for aid furnished under any Federal or Federally assisted program based on need, other than as provided under the Social Security Act.

**TEGL 13-15:** A wage cap is an upper limit on the hourly wage rate that is eligible for reimbursement. A reimbursement rate, or reimbursement level, refers to the percentage of the OJT participant’s hourly wage or wage cap that can be reimbursed to an employer. The wage cap is set at the average hourly wage rate for each state. The training reimbursement percentage is applied against the participant’s wage rate unless the wage rate exceeds the state’s average hourly rate. When the latter occurs, the training reimbursement percentage must be applied against the state’s average hourly rate. Based upon Attachment II of TEGL 13-15, the Average Hourly Wage Rate for WA State is $25.26.

**OJT Employer Eligibility/Relocation**

**WIOA Sec. 181(d)(2):** No funds provided under this title for an employment or training activity shall be used for customized or skill training, OJT, incumbent worker training, transitional employment or company-specific assessments of job applicants or employees, for any business or part of a business that has relocated, until the date that is 120 days after the date on which such business commences operations at the new location, if the relocation of such business or part of a business results in a loss of employment for any employee of such business at the original location and such original location is within the United States.

**OJT Contracts**

**20 CFR 680.700:** OJT is provided under a contract with an employer or registered apprenticeship program sponsor in the public, private not-profit, or private sector.

**20 CFR 680.710: OJT contracts may be written for eligible employed workers when**:

* The employee is not earning a self-sufficient wage or wages comparable to or higher than wages from previous employment;
* The requirements of sec. 680.700 are met; and
* The OJT relates to the introduction of new technologies, introduction to new production or service procedures, upgrading to new jobs that require additional skills, workplace literacy, or other appropriate purposes identified by the Local WDB.

**WIOA Final Rules, page 56149:** OJT contracts **must be continually monitored** so that WIOA funds provided through OJT contracts are providing participants the training to retain employment successfully.

**OJT 75% Reimbursement**

**20 CFR 680.730(b) and TEGL 19-16:** LWDBs must document the factors used when deciding to increase the wage reimbursement levels above 50% up to 75%.

**TEGL 19-16**: Local WDBs have the flexibility under WIOA to increase the reimbursement level to up to 75% of the total wage taking into account the following factors: The characteristics of the participants taking into consideration whether they are “individuals with barriers to employment” as defined in WIOA sec. 3(24); The size of the employer, with an emphasis on small businesses; The quality of employer-provided training and advancement opportunities, for example if the OJT contract is for an in-demand occupation and will lead to an industry-recognized credential; and Other factors the Governor or Local WDB may determine appropriate (e.g. the number of employees participating in the training, wage and benefit levels of the employees (both pre and post participation earnings), and relation of the training to the competitiveness of the participant).

**Labor Standards**

**20 CFR 681.600(a):** Work experience may be paid or unpaid, as appropriate. A work experience may take place in the private for-profit sector, the non-profit sector, or the public sector. Labor standards apply in any work experience where an employee/employer relationship, as defined by the Fair Labor Standards Act or applicable State law, exists.

**WEX Expenditures**

**20 CFR 681.590:** Local youth programs must expend not less than 20% of the funds allocated to them to provide ISY and OSY with paid and unpaid work experiences. Local WIOA youth programs must track program funds spent on paid and unpaid work experiences, including wages and staff costs for the development and management of work experiences, and report such expenditures as part of the local WIOA youth financial reporting. The percentage of funds spent on work experience is calculated based on the local area youth funds expended for work experience rather than calculated separately for ISY and OSY. Local area administrative costs are not subject to the 20% minimum expenditure requirement. Leveraged resources cannot count toward the expenditure requirement *(WIOA Final Rule, narrative, page. 56184 and TEGL 21-16).*

**TEGL 8-15 and TEGL 21-16** provide further discussion of allowable expenditures that may be counted toward the work experience expenditure requirement and articulates that program expenditures on the work experience program element can be more than just wages paid to youth in work experience. Allowable work experience expenditures include:

* Wages/stipends paid for participation in a work experience;
* Staff time working to identify and develop a work experience opportunity, including staff time spent working with employers to identify and develop the work experience;
* Staff time working with employers to ensure a successful work experience, including staff time spent managing the work experience;
* Staff time spent evaluating the work experience
* Participant work experience orientation sessions;
* Employer work experience orientation sessions;
* Classroom training or the required academic education component directly related to the work experience;
* Incentive payments directly tied to the completion of work experience; and
* Employability skills/job readiness training to prepare youth for a work experience.

**TEGL 21-16**: Supportive services are a separate program element and cannot be counted toward the work experience expenditure requirement even if supportive services assist the youth in participating in the work experience.

**Credential Attainment Performance Measure Exclusion**

**TEGL 19-16**: OJT is excluded from the credential attainment performance indicator because, although OJT’s often provide employment benefits to recipients of these services, they rarely result in a credential.

**Reporting/MIS Data Entry Requirements**

**WIN 0082, Change 1:** Services must be entered at the point in time they are delivered; If services cannot be entered at the time they are delivered, Basic Services and ITSS services must be entered *within 14 calendar days* of service delivery and the service date entered must always reflect the date the service was delivered.

**ESD Policy 1023 – Co-enrolled Integrated Service Delivery Policy and Operations Manual Handbook:** All services must be linked to an Active Program Enrollment.

**ESD Policy 1020 Data Integrity and Performance Policy and Handbook:** Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system. Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.

**WIN 0089, Effective February 9, 2018:** For WIOA Youth programs only, DOL has said [service providers] should report a Youth program element as if it were funded by the WIOA program, regardless of the funding source. If a WIOA Youth participant receives program elements from another service provider, the WIOA Youth provider should record these in MIS in the same way as they would if the WIOA Youth program provided the component. As such, there is no federal reporting requirement to enter the service as “Paid by Other”. In terms of supporting documentation, DOL expects to find references to youth program elements delivered by non-WIOA providers in ISS or case notes.

## PE# 4 Occupational Skills Training

**MIS:**

**WIN 0077, Change 9; WorkSource Service Catalog: Occupational Skills Training (Youth Only):** An organized program of study for youth (ages 16-24) that provides specific vocational skills that lead to proficiency in performing actual tasks and technical functions required by certain occupational fields at entry, intermediate, or advanced levels.

**Definition**

**20 cfr 681.540(a) & TEGL 21-16:** The Department *defines occupational skills training* as an organized program of study that provides specific vocational skills that lead to proficiency in performing actual tasks and technical functions required by certain occupational fields at entry, intermediate, or advanced levels. Local areas must give priority consideration to training programs that *lead to recognized postsecondary credentials* that align with in-demand industry sectors or occupations in the local area**.** Such*training must:*

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

**Not Counted as Occupational Skills Training**

**Guidance from ESD Policy to ESD Monitoring on 2-16-18**: Microsoft Digital Literacy *(it should be recorded as Workforce Preparation)*

**ESD Policy 1020 Data Integrity and Performance Policy and Handbook:** First aid cards *(record as Workforce Preparation per ESP Policy guidance to ESD Monitoring on 2-23-19),* Food handler’s card

**Requirements**

**20 cfr 681.540(b)** The chosen occupational skills training must meet the quality standards in WIOA sec. 123.

**Satisfactory in Progress Training**

**ESD WS Policy 5601, Rev. 2:** LWDBs may want to require that participants demonstrate satisfactory progress in training, except for good cause (see Section 4 - Definitions), to access payments through their ITAs. If they do so, "satisfactory progress" should be defined by LWDB policy. Washington’s Unemployment Insurance Training Benefits program has specific criteria for determining satisfactory progress for claimants (WAC 192-270-065) that may serve as a helpful example.

**Evan Rosenberg, Division of Youth Services, DOL ETA, “WIOA Youth Eligibility Live Q&A Session” on WorkforceGPS October 24, 2017:** Job Corps can only count as occupational skills training if Job Corps is not counted as a program outcome.

**Documentation Requirements**

**20 CFR 680.220(b)**: **The case file must contain a determination of need for training as determined through the interview, evaluation or assessment, AND career planning** informed by local labor market information and training provider performance information, or through any other career service received.

**Reporting/MIS Data Entry Requirements:**

**WIN 0082, Change 1:** Services must be entered at the point in time they are delivered. If services cannot be entered at the time they are delivered, Basic Services and ITSS services must be entered within 14 calendar days of service delivery and the service date entered must always reflect *the date the service was delivered*.

**WIN 0089:** Youth program staff must record in MIS any services provided to WIOA youth program participants *even if the services were provided by non-WIOA providers* *and paid for with non-WIOA funds****.*** As reported by ESD Performance to ESD Monitoring on 3-5-18,if training is paid for with non-WIOA funds, the service recorded in MIS would still be Occupational Skills Training. *Do not* record it as Training Paid by other.This is for the Youth Program only. In terms of supporting documentation, DOL expects to find references to youth program elements delivered by non-WIOA providers in ISS or case notes.

**ESD Policy 1020 Data Integrity and Performance Policy and Handbook:** Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system. *Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.*

**Evan Rosenberg, Division of Youth Services, DOL ETA, “WIOA Youth Eligibility Live Q&A Session” on WorkforceGPS October 24, 2017:** All trainings must be recorded in the state’s MIS. DOL wants the counts for all training participants receive, not just those that are WIOA funded.

**ESD Policy 1023 – Co-enrolled Integrated Service Delivery Policy and Operations Manual Handbook:** All services must be linked to an Active Program Enrollment.

**Training 12 Meeting Minutes sent via email from Lynn Aue (ESD) on 8-7-19 (Measurable Skills Gains guidance):** When reporting the last date of training, if there was a test that took place after the completion of the classroom training and that test was paid for as part of the training, the *test date should be entered as the last date of training.*

**TEGL 23-19: Post-secondary Education:** Record if the participant was in a post-secondary program that leads to a credential or degree from an accredited post-secondary education institution at program enrollment or at any point during program participation.

**Date Enrolled:** Record the date the participant was enrolled during program participation in an education or training program that leads to a recognized post-secondary credential, including a secondary education program, or training program that leads to employment as defined by the core program in which the participant participates whether *at program enrollment or at any point while participating in the program*. If the participant was enrolled in post-secondary education at program entry, the date in this field should be the date of Program Entry. This includes but is not limited to participation in Job Corps or YouthBuild or Adult Education or secondary education programs.

**Note:** This data element applies to the **Measurable Skill Gains Indicator** and specifically will be utilized to calculate the denominator.

**ETA 9170 (PIRL):** Record the date on which the participant’s first *training service actually began*. Record the date the participant *completed during program participation an education or training program* that leads to a recognized postsecondary credential, including a secondary education program, or training program that leads to employment as defined by the core program in which the participant participates. States may use this coding value if the participant was either already enrolled in education or training at the time of program entry or became enrolled in education or training at any point while participating in the program. If the participant was enrolled in postsecondary education at program entry, the date in this field should be after the date of Program Entry. This includes, but is not limited to participation in Job Corps, YouthBuild, a Registered Apprenticeship program, Adult Education or secondary education programs.

**Note:** This data element applies to the **Measurable Skill Gains Indicator**, and specifically will be utilized to calculate the denominator. It encompasses all education and training program enrollment.

### Consumer Choice (OSY WIOA Funded Postsecondary Training Only)

**Requirements**

**20 cfr 680.340:** Training services, whether under ITAs or under contract, **must** be provided in a manner that maximizes informed consumer choice in selecting an eligible provider. Each Local WDB, through the one-stop center, **must** make available to customers the State list of eligible training providers required in WIOA sec. 122(d). An individual who has been determined eligible for training services under § 680.210 may select a provider described in paragraph (b) of this section after consultation with a career planner. Unless the program has exhausted training funds for the program year, the one-stop center **must** refer the individual to the selected provider and establish an ITA for the individual to pay for training. For purposes of this paragraph, a referral may be carried out by providing a voucher or certificate to the individual to obtain the training. Consistent with paragraph (a) of this section, priority consideration must be given to programs that lead to recognized postsecondary credentials (defined at WIOA sec. 3(52)) that are aligned with in-demand industry sectors or occupations in the local area.

**Out of Area or Out of State training**

**20 CFR 680.520:** An individual may choose training providers and programs outside of the local area provided the training program is on the State list, in accordance with local policies and procedures. An individual may choose eligible training providers and programs outside of the State consistent with State *(*[*WIOA Title I Policy 5611, Revision 1*](http://media.wpc.wa.gov/media/WPC/adm/policy/5611.pdf)*;* [*WTECB’s document*](http://www.wtb.wa.gov/etp.pdf)*)* and local policies and procedures.

### Financial Aid; Other Program / Grant Assistance

**Applies To**

Only applicable to OSY receiving an ITA for post-secondary training

**Requirements**

**20 CFR 680.230:** WIOA funding for training is limited to **participants who**: Are **unable to obtain grant assistance from other sources** to pay the cost of their training; **or** require assistance beyond that available under grant assistance from other sources to pay the costs of such training.

* In making the determination, one-stop centers may consider the full cost of participating in training services, including the cost of supportive services and other appropriate costs.
* One-stop centers must consider the availability of other sources of grants to pay for training costs such as TANF, State-funded training funds (e.g., Worker Retraining, WorkFirst, BFET), and Federal Pell Grants, so that WIOA funds supplement other sources of training grants.
* A WIOA participant may enroll in WIOA funded training while his/her application for a Pell Grant is pending as long as the one-stop center has made arrangements with the training provider and the WIOA participant regarding allocation of the Pell Grant, if it is subsequently awarded.

**ESD Policy 5601, Rev 2:** Local areas must consider the availability of other sources of grants, excluding loans, to pay for training costs so that WIOA funds are used to supplement but not supplant other sources. WIOA funds are intended to provide training services in instances when there is no grant assistance (or insufficient assistance) from other sources (i.e., TANF, BFET, Title IV Programs and State-funded grants) to pay for those costs. The use of WIOA funds to pay down a loan of an otherwise eligible participant is prohibited; however, *the mere existence of a federal loan must not impact eligibility determinations.*

**Excluded**

**WIOA Final Rules, Department Response, page 56121 and TEGL 19-16:** The Department notes that the Department of Veterans Affairs benefits for education and training services are not included in the category of “other sources of training grants” listed in sec. 680.230(b). Therefore, veterans and spouses are not required to first use any available benefit entitlements associated with their military service before being considered eligible for WIOA funded training, and one-stop centers are not required to consider the availability of those funds.

### Individual Training Account (ITA) (OSY ages 16-24 only)

**OSY Eligible for ITA’s:**

**20 CFR 681.550:** The Dept. allows WIOA ITAs for OSY, ages 16-24 using WIOA youth funds when appropriate

**Use of ITA Funds:**

**ESD** **Policy 5601, Rev 2:** If an ITA has been established and the training is managed between the WIOA Title I case manager and the participant, those funds may be used to pay for allowable training-related expenses as well as tuition expenses.

If the training provider was selected by the WIOA Title I participant and the case manager, but the source of *payment* for training is Pell, other financial aid, or private scholarships, a WIOA-funded ITA **may be used** to pay allowable training costs not covered by those fund sources. A WIOA-funded ITA is **not** appropriate **if** the WIOA Title I case manager and program played no role in training provider selection and the participant’s training is selected, funded, and directed by a program other than Title I, such as Vocational Rehabilitation (VR), Trade Adjustment Assistance (TAA), or community and technical colleges (Worker Retraining (WRT). However, if such funding ends after training has started, a WIOA Title I-funded ITA may be initiated if that program is on the Eligible Training Provider (ETP) list.

**In-demand Occupations - ESD** **Policy 5601, Rev 2:** ITA funds must be directly linked to an in-demand industry sector or occupation in the local area, or in another area to which the individual is willing to relocate. Local boards may also approve training services for occupations determined by the local board to be in economic sectors that have high potential for sustained demand or growth in the local area.

DOL guidance is that registered apprenticeship programs are in-demand even if the labor market information may not list as “in-demand” the occupation for which the individual is apprenticed because registered apprenticeship programs, being tied to specific employers, only enroll individuals when there is employer demand, which makes it possible to carry out the on-the-job aspect of the instruction**.**

**Training Providers Eligible for ITA**

**20 CFR 680.300**: Training services for eligible individuals are typically provided by training providers who receive payment for their services through an ITA.

**TEGL 13-16:** Registered Apprenticeship sponsors are able to use ITA funds to support the educational

portion (i.e., related instruction component) of the registered apprenticeship for eligible apprentices.

**Definition**

**20 CFR 680.300**: The ITA is a payment agreement established on behalf of a participant with a training provider. WIOA Title I adult and dislocated workers purchase training services from State eligible training providers they select in consultation with the career planner, which includes discussion of program quality and performance information on the available eligible training providers.

### Contract for Training (OSY Only)

**Requirements**

This element only applies to OSY who are eligible for training through an ITA.

**20 CFR 680.320:** Contracts for services may be used instead of ITAs only when one or more of the following five exceptions apply, **and** the *local area has fulfilled the consumer choice requirements* of 680.340:

* For OJTs, customized training, incumbent worker training or transitional jobs;
* When the LWDB determines that there are an insufficient number of eligible training providers in the local area to accomplish the purpose of a system of ITAs. The determination process must include a public comment period for interested providers of at least 30 days, and be described in the Local Plan;
* When the Local WDB determines that there is a training services program of demonstrated effectiveness offered in the area by a community-based organization or another private organization to serve \*individuals with barriers to employment,” as described in paragraph (b) of this section. The Local WDB must develop criteria to be used in determining demonstrated effectiveness, particularly as it applies to the individuals with barriers to employment to be served.
* When the Local WDB determines that it would be most appropriate to contract with an institution of higher education (see WIOA sec. 3(28)) or other provider of training services in order to facilitate the training of multiple individuals in in-demand industry sectors or occupations, provided that the contract does not limit consumer choice.
* When the Local WDB is considering entering into a Pay-for-Performance contract, and the Local WDB ensures that the contract is consistent with § 683.510 of this chapter.
* (b) \*Individuals with a barrier to employment - WIOA sec. 3(24):

|  |  |
| --- | --- |
| (1) Displaced homemakers | (8) Youth who are in or have aged out of the foster care system |
| (2) Low-income individuals | (9) Individuals who are English language learners, individuals who have low levels of \*literacy, and individuals facing substantial \*\*cultural barriers |
| (3) Indians, Alaska Natives, and Native Hawaiians | (10) Eligible migrant and seasonal farmworkers, defined in WIOA sec. 167(i) |
| (4) Individuals with disabilities | (11) Individuals within 2 years of exhausting lifetime eligibility under TANF |
| (5) Older individuals, i.e., those aged 55 or over | (12) Single parents (including single pregnant women) |
| (6) Ex-offenders | (13) \*\*\*Long-term unemployed individuals |
| (7) Homeless individuals | (14) Other groups determined by the Governor to have barriers to employment |

* \*Literacy: WIOA Sec. 202(13): The term “literacy” means an individual’s ability to read, write, and speak English, compute, and solve problems, at levels of proficiency necessary to function on the job, in the family of the individual and in society.
* \*\* Cultural Barrier: DOL ETA 9170 WIOA Record Layout (PIRL): The participant, at program entry, perceives him or herself as possessing attitudes, beliefs, customs or practices that influence a way of thinking, acting or working that may serve as a hindrance to employment.
* \*\*\*Definition, WIOA Final Rule, page 56122; DOLETA 9170, WIOA PIRL: The Dept. generally defers to the Bureau of Labor Statistics definition which is “unemployment 27 weeks or more”.

## PE# 5 Education Offered Concurrently with Workforce Preparation and Training for a Specific Occupation

**MIS:**

**WIN 0077, Change 9; WorkSource Service Catalog:**

Education Offered with Workforce Preparation Activities and Occupational Training-Youth Only: Education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster.

**Definition**

**TEGL 21-16:** 20 CFR 681.630 states that this program element reflects an integrated education and training model and describes how *workforce preparation activities, basic academic skills, and hands-on occupational skills training are to be taught within the same timeframe and connected to training in a specific occupation*, occupational cluster, or career pathway. While programs developing basic academic skills, which are included as part of alternative secondary school services and dropout recovery services (program element 2), workforce preparation activities that occur as part of a work experience (program element 3), and occupational skills training (program element 4) can all occur separately and at different times (and thus are counted under separate program elements), this program element refers to the concurrent delivery of these services which make up an integrated education and training model.

**Reporting/MIS Data Entry Requirements**

**WIN 0082, Change 1:** Services must be entered at the point in time they are delivered; If services cannot be entered at the time they are delivered, Basic Services and ITSS services must be entered **within 14 calendar days** of service delivery and the **service date entered must always reflect** **the date the service was delivered**.

**ESD Policy 1023 – Co-enrolled Integrated Service Delivery Policy and Operations Manual Handbook:** All services must be linked to an Active Program Enrollment.

**ESD Policy 1020 Data Integrity and Performance Policy and Handbook:** Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system. **Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.**

**WIN 0089, Effective February 9, 2018:** For WIOA Youth programs only, DOL has said [service providers] should report a Youth program element as if it were funded by the WIOA program, regardless of the funding source. If a WIOA Youth participant receives program elements from another service provider, the WIOA Youth provider should record these in MIS in the same way as they would if the WIOA Youth program provided the component. As such, there is no federal reporting requirement to enter the service as “Paid by Other”. In terms of supporting documentation, DOL expects to find references to youth program elements delivered by non-WIOA providers in ISS or case notes.

## PE# 6 Leadership Development Opportunities

**MIS:**

**WIN 0077, change 9; WorkSource Service Catalog: Youth Leadership Development Opportunities 2.0 (Youth Only):** Leadership Development Opportunities include but are not limited to activities that encourage responsibility, employability, and other positive social behaviors such as:

* exposure to post-secondary educational opportunities;
* community and service-learning projects;
* peer-centered activities including peer mentoring and tutoring;
* organizational and teamwork training, including team leadership training;
* training in decision making, including determining priorities; and
* citizenship training, including life skills training such as parenting, work behavior training, and budgeting of resources.

**Definition**

**20 CFR 681.520:** Leadership development opportunities are opportunities that encourage responsibility, confidence, employability, self-determination, and other \*positive social behaviors such as:

* Exposure to postsecondary educational possibilities;
* Community and service-learning projects;
* Peer-centered activities, including peer mentoring and tutoring;
* Organizational and teamwork training, including team leadership training;
* Training in decision-making, including determining priorities and problem solving;
* Citizenship training, including life skills training such as parenting and work behavior training;
* Civic engagement activities which promote the quality of life in a community; and
* Other leadership activities that place youth in a leadership role such as serving on youth leadership committees, such as a Standing Youth Committee.

**\*Positive Social & Civic Behaviors:**

**20 CFR 681.530: Positive social and civic behaviors are outcomes of leadership opportunities**, which are incorporated by local programs as part of their menu of services. Positive social and civic behaviors focus on areas that may include the following:

* Positive attitudinal development;
* Self-esteem building;
* Openness to work with individuals from diverse backgrounds;
* Maintaining healthy lifestyles, including being alcohol- and drug-free;
* Maintaining positive social relationships with responsible adults and peers, and contributing to the well-being of one’s community, including voting;
* Maintaining a commitment to learning and academic success;
* Avoiding delinquency; and
* Positive job attitudes and work skills.

**Reporting/MIS Data Entry Requirements**

**WIN 0082, Change 1 :** Services must be entered at the point in time they are delivered; If services cannot be entered at the time they are delivered, Basic Services and ITSS services must be entered *within 14 calendar days* of service delivery and the *service date entered must always reflect the date the service was delivered.*

**ESD Policy 1023 – Co-enrolled Integrated Service Delivery Policy and Operations Manual Handbook:** All services must be linked to an Active Program Enrollment.

**ESD Policy 1020 Data Integrity and Performance Policy and Handbook:** Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system. **Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.**

**WIN 0089, Effective February 9, 2018:** For WIOA Youth programs only, DOL has said [service providers] should report a Youth program element as if it were funded by the WIOA program, regardless of the funding source. If a WIOA Youth participant receives program elements from another service provider, the WIOA Youth provider should record these in MIS in the same way as they would if the WIOA Youth program provided the component. As such, there is no federal reporting requirement to enter the service as “Paid by Other”. *In terms of supporting documentation, DOL expects to find references to youth program elements delivered by non-WIOA providers in ISS or case notes.*

## PE# 7 Supportive Services

**MIS:**

**WIN 0077, Change 9; WorkSource Service Catalog:** Support Services-fees, supplies, tests, transportation, etc. (Youth Only): Support services to be provided to youth to enable them to participate in youth program activities. These services may include: linkages to community services; assistance with transportation, child and dependent care, housing, educational testing, uniforms or other appropriate work attire and work-related tools, such as eyeglasses, protective eye gear, books, fees, school supplies, and other necessary items for students enrolled in postsecondary education classes; payments and fees for employment and training-related applications, tests, and certifications; reasonable accommodations for youth with disabilities; legal aid services, and referrals to health care.

**Types of Supportive Services**

**20 CFR 681.570:** Supportive services for youth, as defined in WIOA Sec. 3(59), are services that enable an individual to participate in WIOA activities. These services include, but are not limited to:

* Linkages to community services;
* Assistance with transportation;
* Assistance with childcare and dependent care;
* Assistance with housing;
* Needs-related payments (youth ages 18-24 only);
* Assistance with educational testing;
* Reasonable accommodations for youth with disabilities;
* Legal aid services;
* Referrals to health care;
* Assistance with uniforms or other appropriate work attire and work-related tools, including such items as eyeglasses and protective eye gear;
* Assistance with books, fees, school supplies, and other necessary items for students enrolled in postsecondary education classes; and
* Payments and fees for employment and training-related applications, tests, and certifications.

**Supportive Services Allowed in Follow-up - 20 CFR 681.580(b):** Follow-up services for youth may include supportive services.

**Supportive Services Disallowed\*\*\*:**

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| --- |
| **ESD WIOA Policy 5602, Rev. 2: Food/Groceries:** DOL commented on page 56182 of the WIOA Final Rules that “groceries and on-site meals for program participants are beyond the scope of WIOA.” Further, neither TEGL 19-16 nor TEGL 21-16 include groceries, including food, on their respective listings of allowable supportive services. Though both guidance’s state that the lists are not exhaustive, DOL has opined that its Final Rule commentary represents an explicit prohibition, so groceries are therefore not an allowable supportive service for WIOA Title I adults, dislocated workers, or youth.  **ESD Policy 1019, Rev. 4:** Food and groceries are prohibited as supportive services as DOL has determined that they are beyond the scope of WIOA.  **\*\*\*Temporary suspension of prohibition on food as a supportive service for WIOA Title I-B youth program participants** **- WIN0111** *Effective Date:* June 3, 2020 *Expiration Date:*December 3, 2020  Due to the COVID-19 crisis, food *may be provided as a supportive service* to WIOA Title I Youth program participants *on a limited basis and in certain situations*.  Food may be provided to eligible youth *when it will assist or enable them to participate in allowable youth program activities and reach their employment and training goals*. The focus of the program is to train youth and the use of WIOA Title I-B grant funds for food should be limited to reasonable and necessary purchases.  Local Workforce Development Boards (LWDBs) *must* coordinate the purchase of food for WIOA Title I-B youth with other community, state, or federal services that provide food to low-income individuals and document the coordination efforts undertaken.  LWDBs and their WIOA Title I-B youth providers are encouraged, though not required, to pursue food assistance that might be available through the Supplemental Nutrition Assistance Program (SNAP), called Basic Food in Washington, which is one-stop partner in Washington’s 2020-24 WIOA Combined State Plan. Food assistance may also be available through local food banks that are partners in local one-stop systems or part of the social services referral network even if they are not formal one-stop partners.  To prepare to provide food as a supportive service for WIOA Title I Youth participants,  LWDBs are encouraged to review local policy guidance regarding internal controls and documentation requirements, as well as assess or establish partnerships with other entities that will be necessary to provide food to WIOA Title I-B youth. |

## Incentives

**MIS Incentives**: Per ESD Policy Unit, there is no service to record Incentives in MIS

**Incentives Allowed**

**20 CFR 681.640 & TEGL 21-16:** Incentive payments to youth participants are permitted for recognition and achievement directly tied to training activities and work experiences. The local program must have written policies and procedures in place governing the award of incentives and must ensure that such incentive payments are:

* Tied to the goals of the specific program;
* Outlined in writing before the commencement of the program that may provide incentive payments;
* Align with the local program’s organizational policies; and
* Accord with the requirements in 2 CFR 200.

**ESD Policy 5621-Rev. 2:** Per 20 CFR 681.640 and TEGL 21-16, incentive payments to youth participants can only be for recognition and achievement directly tied to training, education, and work experiences (e.g., improvements marked by acquisition of a credential or other successful outcome).

**Incentives Disallowed**

**WIOA Final Rule, Department’s Response, page 56185 & TEGL 21-16:** While incentive payments are allowable, Federal funds may not be spent on entertainment costs. Therefore, **incentives may not include entertainment,** such as movie or sporting event tickets or gift cards to movie theaters or other venues whose sole purpose is entertainment.

**Incentive Documentation Requirements**

**ESD Policy 5621, Rev. 2:** It is the State’s policy that incentive payments to eligible Title I Youth, Adult and DW participants *must be justified and documented by service providers:*Service providers must document (case note*-OK to be documented in local policy-per Policy)* the following in the case management system for each participant that receives an incentive payment:

* The business case (i.e., justification) for the incentive payment’s contribution to the participant’s success (describe how incentive contributes to the participant’s success) and
* How the incentive payment was calculated (how amount of incentive was determined to be appropriate).
* Service providers must also internally maintain appropriate and identifiable expenditure records of incentive payments for the purpose of local, state, and federal monitoring and audits.

## Needs Related Payments

**MIS:**

**WIN 0077, Change 9; WorkSource Service Catalog: Needs-Related Payments (Youth Only):** Financial assistance (income support) to eligible youth (ages 18-24) in training to enable them to participate in that training.

**Definition & Design**

**20 CFR 680.930:** Needs-related payments provide **financial assistance to participants for them to participate in training and are a supportive servic**e.

**NRP Eligibility**

**ESD Policy 5602, Rev. 2: Adults OSY ages 18-24 must:** Be unemployed; not qualify for (or have ceased to qualify for) UI; and be enrolled in a program of training services under WIOA Section 134(c)(3) for adults and WIOA Section 129(c)(2( for OSY ages 18-24.

**NRP Payments**

**20 CFR 680.960:** Payments may be provided if the participant has been accepted in a training program that will begin within 30 calendar days.

**20 CFR 680.970**: The payment level for adults must be established by the Local WDB.

**Reporting/MIS Data Entry Requirements**

**Participation**

**WIN 0077, Change 9:** Support services triggers and extends participation but is not a durational service.

**WIN 0084:** Supportive services extend participation prior to follow-up; supportive services provided in follow-up do not extend participation.

**WIN 0082, Change 1:** Services must be entered at the point in time they are delivered; If services cannot be entered at the time they are delivered, Basic Services and ITSS services must be entered *within 14 calendar days* of service delivery and the service date entered must always reflect the date the service was delivered.

**ESD Policy 1023 – Co-enrolled Integrated Service Delivery Policy and Operations Manual Handbook:** All services must be linked to an Active Program Enrollment.

**ESD Policy 1020 Data Integrity and Performance Policy and Handbook:** Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system. **Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.**

**WIN 0089, Effective February 9, 2018:** For WIOA Youth programs only, DOL has said [service providers] should report a Youth program element as if it were funded by the WIOA program, regardless of the funding source. If a WIOA Youth participant receives program elements from another service provider, the WIOA Youth provider should record these in MIS in the same way as they would if the WIOA Youth program provided the component. As such, there is no federal reporting requirement to enter the service as “Paid by Other”. In terms of supporting documentation, DOL expects to find references to youth program elements delivered by non-WIOA providers in ISS or case notes.

## PE# 8 Adult Mentoring

**MIS:**

**WIN 0077, Change 9; WorkSource Service Catalog: Mentoring (Youth):** A formal relationship between youth and an adult mentor that includes structured activities, guidance, support, and encouragement to develop competence and character of the mentee. May include workplace mentoring where a youth is matched with an employer or employee of a company. WIOA case managers are discouraged from serving as mentors unless adult mentors are sparse in the local area, in which case, WIOA case managers can serve in that role. Mentoring must be provided for at least 12 months.

**Requirements**

**20 CFR 681.490 & TEGL 21-16:** Adult mentoring for youth must:

* Last at least 12 months and may take place both during the program and following exit from the program;
* Be a formal relationship between a youth participant and an adult mentor that includes structured activities where the mentor offers guidance, support, and encouragement to develop the competence and character of the mentee; and
* While group mentoring activities and mentoring through electronic means are allowable as part of the mentoring activities, at a minimum, the local youth program must match the youth with an individual mentor with whom the youth interacts on a face-to-face basis.
* Mentoring may include workplace mentoring where the local program matches a youth participant with an employer or employee of a company.

**Case Managers as Mentors**

**TEGL 21-16 and WIN 0077, Change 9:** While DOL strongly prefers that case managers not serve as mentors, the final rule allows case managers to serve as mentors in areas where adult mentors are sparse.

**Reporting/MIS Data Entry Requirements**

**PARTICIPATION**

**WIN 0077, Change 9:** “Mentoring Youth” triggers and extends participation and is a durational service.

**Reporting/MIS Data Entry Requirements**

**WIN 0082, Change 1:** Services must be entered at the point in time they are delivered; If services cannot be entered at the time they are delivered, Basic Services and ITSS services must be entered *within 14 calendar days* of service delivery and the *service date entered must always reflect the date the service was delivered*.

**ESD Policy 1023 – Co-enrolled Integrated Service Delivery Policy and Operations Manual Handbook:** All services must be linked to an Active Program Enrollment.

**ESD Policy 1020 Data Integrity and Performance Policy and Handbook:** Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system. *Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.*

**WIN 0089, Effective February 9, 2018:** For WIOA Youth programs only, DOL has said [service providers] should report a Youth program element as if it were funded by the WIOA program, regardless of the funding source. If a WIOA Youth participant receives program elements from another service provider, the WIOA Youth provider should record these in MIS in the same way as they would if the WIOA Youth program provided the component. As such, there is no federal reporting requirement to enter the service as “Paid by Other”. In terms of supporting documentation, DOL expects to find references to youth program elements delivered by non-WIOA providers in ISS or case notes.

## PE# 10 Comprehensive Guidance and Counseling

**MIS:**

**WIN 0077, change 9; WorkSource Service Catalog:** Youth Guidance and Counseling: Additional support for youth includes activities such as comprehensive guidance and counseling as aids to barrier removal, including drug and alcohol abuse counseling, as well as referrals to counseling, as appropriate to the needs of the individual youth.

**Definition**

**20 CFR 681.510 & TEGL 21-16:** Comprehensive guidance and counseling provide individualized counseling to participants. This includes drug and alcohol abuse counseling, mental health counseling, and referral to partner programs, as appropriate. When referring participants to necessary counseling that cannot be provided by the local youth program or its service providers, the local youth program must coordinate with the organization it refers to in order to ensure continuity of service.

**TEGL 21-16:** When resources exist within the local program or its service providers, it is allowable to provide counseling services directly to participants rather than refer youth to partner programs.

**Reporting/MIS Data Entry Requirements**

**WIN 0082, Change 1:** Services must be entered at the point in time they are delivered; If services cannot be entered at the time they are delivered, Basic Services and ITSS services must be entered *within 14 calendar days* of service delivery and the *service date entered must always reflect the date the service was delivered.*

**ESD Policy 1023 – Co-enrolled Integrated Service Delivery Policy and Operations Manual Handbook:** All services must be linked to an Active Program Enrollment.

**ESD Policy 1020 Data Integrity and Performance Policy and Handbook:** Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system. *Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.*

**WIN 0089, Effective February 9, 2018:** For WIOA Youth programs only, DOL has said [service providers] should report a Youth program element as if it were funded by the WIOA program, regardless of the funding source. If a WIOA Youth participant receives program elements from another service provider, the WIOA Youth provider should record these in MIS in the same way as they would if the WIOA Youth program provided the component. As such, there is no federal reporting requirement to enter the service as “Paid by Other”. In terms of supporting documentation, DOL expects to find references to youth program elements delivered by non-WIOA providers in ISS or case notes.

## PE# 11 Financial Literacy Education

**MIS:**

**WIN 0077, Change 9; WorkSource Service Catalog:** Financial Literacy (Youth Only): Supporting the ability of youth participants to create household budgets; initiate savings plans; understand financial services and products; make informed financial decisions; understand rights and protections related to identity theft and financial data and pursue financially-related activities and education that are age-appropriate and timely.

**Definition**

**20 CFR 681.500 & TEGL 21-16:** The financial literacy education program element may include activities which:

* Support the ability of participants to create budgets, initiate checking and savings accounts at banks, and make informed financial decisions;
* Support participants in learning how to effectively manage spending, credit, and debt, including student loans, consumer credit, and credit cards;
* Teach participants about the significance of credit reports and credit scores; what their rights are regarding their credit and financial information; how to determine the accuracy of a credit report and how to correct inaccuracies; and how to improve or maintain good credit;
* Support a participant’s ability to understand, evaluate, and compare financial products, services, and opportunities and to make informed financial decisions;
* Educate participants about identity theft, ways to protect themselves from identify theft, and how to resolve cases of identity theft and in other ways understand their rights and protections related to personal identity and financial data;
* Support activities that address the particular financial literacy needs of non-English speakers, including providing the support through the development and distribution of multilingual financial literacy and education materials;
* Support activities that address the particular financial literacy needs of youth with disabilities, including connecting them to benefits planning and work incentives counseling;
* Provide financial education that is age appropriate, timely, and provides opportunities to put lessons into practice, such as by access to safe and affordable financial products that enable money management and savings; and
* Implement other approaches to help participants gain the knowledge, skills, and confidence to make informed financial decisions that enable them to attain greater financial health and stability by using high quality, age-appropriate, and relevant strategies and channels, including, where possible, timely and customized information, guidance, tools, and instruction.

**Reporting/MIS Data Entry Requirements**

**Participation**

**WIN 0077, Change 9:** “Financial Literacy” service triggers and extends participation but is not a durational service.

**MIS Data Entry Requirements**

**WIN 0082, Change 1:** Services must be entered at the point in time they are delivered; If services cannot be entered at the time they are delivered, Basic Services and ITSS services must be entered *within 14 calendar days* of service delivery and the *service date entered must always reflect the date the service was delivered.*

**ESD Policy 1023 – Co-enrolled Integrated Service Delivery Policy and Operations Manual Handbook:** All services must be linked to an Active Program Enrollment.

**ESD Policy 1020 Data Integrity and Performance Policy and Handbook:** Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system. *Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.*

**WIN 0089, Effective February 9, 2018:** For WIOA Youth programs only, DOL has said [service providers] should report a Youth program element as if it were funded by the WIOA program, regardless of the funding source. If a WIOA Youth participant receives program elements from another service provider, the WIOA Youth provider should record these in MIS in the same way as they would if the WIOA Youth program provided the component. As such, there is no federal reporting requirement to enter the service as “Paid by Other”

In terms of supporting documentation, DOL expects to find references to youth program elements delivered by non-WIOA providers in ISS or case notes.

## PE# 12 Entrepreneurial Skills Training

**MIS:**

**WIN 0077, change 9; WorkSource Service Catalog:** Entrepreneurial Skills Training (Youth Only): Training to provide youth with the basics of starting and operating a small business. Training may include, but not be limited to, taking initiative, identifying business opportunities; developing budgets and forecasting resource needs; understanding options for acquiring capital; and effectively communicating and marketing ideas.

**Definition**

**20 CFR 681.560 & TEGL 21-16:** Entrepreneurial skills training provides the basics of starting and operating a small business. Such training must develop the skills associated with entrepreneurship. Such skills may include, but are not limited to, the ability to: Take initiative; Creatively seek out and identify business opportunities; Develop budgets and forecast resource needs; Understand various options for acquiring capital and the trade-offs associated with each option; and Communicate effectively and market oneself and one’s ideas.

Approaches to teaching youth entrepreneurial skills include, but are not limited to, the following:

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

**Reporting/MIS Data Entry Requirements**

**WIN 0082, Change 1:** Services must be entered at the point in time they are delivered; If services cannot be entered at the time they are delivered, Basic Services and ITSS services must be entered *within 14 calendar days* of service delivery and the *service date entered must always reflect the date the service was delivered*.

**ESD Policy 1023 – Co-enrolled Integrated Service Delivery Policy and Operations Manual Handbook:**

All services must be linked to an Active Program Enrollment.

**ESD Policy 1020 Data Integrity and Performance Policy and Handbook:** Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system. *Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.*

**WIN 0089, Effective February 9, 2018:** For WIOA Youth programs only, DOL has said [service providers] should report a Youth program element as if it were funded by the WIOA program, regardless of the funding source. If a WIOA Youth participant receives program elements from another service provider, the WIOA Youth provider should record these in MIS in the same way as they would if the WIOA Youth program provided the component. As such, there is no federal reporting requirement to enter the service as “Paid by Other”. In terms of supporting documentation, DOL expects to find references to youth program elements delivered by non-WIOA providers in ISS or case notes.

## PE# 13 Services that Provide Labor Market Information

**MIS:**

**WIN 0077, Change 9; WorkSource Service Catalog:** Labor Market Information Services (Youth Only): 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.

**WIN 0092:** It is the State’s expectation that Title I Youth case manager take only *Labor Market Information Services (Youth Only)* to represent either job search or labor market-related activities.

**Definitions**

**TEGL 21-16:** Under 20 CFR 681.460(a)(13),this element includes services such as*career awareness***,** *career counseling*and*career exploration*thatprovide labor market and employment information about in-demand industry sectors or occupations available in the local area.

* *Career awareness* begins the process of developing knowledge of the variety of careers and occupations available, their skill requirements, working conditions and training prerequisites, and job opportunities across a wide range of industry sectors.
* *Career counseling* or guidance provides advice and support in making decisions about what career paths to take. Career counseling services may include providing information about resume preparation, interview skills, potential opportunities for job shadowing, and the long-term benefits of postsecondary education and training (e.g., increased earning power and career mobility).
* The process in which youth choose an educational path and training or a job which fits their interests, skills and abilities can be described as career exploration.
* Wagner-Peyser regulation at 20 CFR 651.10 defines workforce and labor market information as “the body of knowledge that describes the relationship between labor demand and supply.”

**Reporting/MIS Data Entry Requirements**

**Participation**

**WIN 0077, Change 9**: “Services that Provide Labor Market Information” triggers and extends participation but is not a durational service.

**MIS Data Entry Requirements**

**WIN 0082, Change 1:** Services must be entered at the point in time they are delivered; If services cannot be entered at the time they are delivered, Basic Services and ITSS services must be entered *within 14 calendar days* of service delivery and the *service date entered must always reflect the date the service was delivered*.

**ESD Policy 1023 – Co-enrolled Integrated Service Delivery Policy and Operations Manual Handbook:** All services must be linked to an Active Program Enrollment.

**ESD Policy 1020 Data Integrity and Performance Policy and Handbook:** Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system. Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.

**WIN 0089, Effective February 9, 2018:** *For WIOA Youth programs only, DOL has said [service providers] should report a Youth program element as if it were funded by the WIOA program, regardless of the funding source.* If a WIOA Youth participant receives program elements from another service provider, the WIOA Youth provider should record these in MIS in the same way as they would if the WIOA Youth program provided the component. As such, there is no federal reporting requirement to enter the service as “Paid by Other”. In terms of supporting documentation, DOL expects to find references to youth program elements delivered by non-WIOA providers in ISS or case notes.

## PE# 14 Postsecondary Preparation and Transition Activities

**MIS:**

**WIN 0077, Change 9; WorkSource Service Catalog:** Post-Secondary Preparation and Transition Activities (Youth Only): Such activities prepare ISY and OSY for advancement to postsecondary education after attaining a high school diploma or its recognized equivalent. These services include exploring postsecondary education options including technical training schools, community colleges, four-year colleges and universities, and registered apprenticeship. Additional services include, but are not limited to, assisting youth to prepare for SAT/ACT testing; assisting with college admission applications; searching and applying for scholarships and grants; filling out the proper Financial Aid applications and adhering to changing guidelines; and connecting youth to postsecondary education programs.

**Definition**

**TEGL 21-16:** Postsecondary preparation and transition activities and services prepare ISY and OSY for advancement to postsecondary education after attaining a high school diploma or its recognized equivalent.

These services include **but are not limited to:**

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

**Reporting/MIS Data Entry Requirements**

**Participation**

**WIN 0077, Change 9:** Postsecondary Preparation and Transition Activities” triggers and extends participation but is not a durational service.

**WIN 0082, Change 1: Effective 2-15-17,** the minimal WIT data entry requirements are as follows: Services must be entered at the point in time they are delivered; If services cannot be entered at the time they are delivered, Basic Services and ITSS services must be entered *within 14 calendar days* of service delivery and the *service date entered must always reflect the date the service was delivered.*

**ESD Policy 1023 – Co-enrolled Integrated Service Delivery Policy and Operations Manual Handbook:** All services must be linked to an Active Program Enrollment.

**ESD Policy 1020 Data Integrity and Performance Policy and Handbook:** Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system. *Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.*

**WIN 0089, Effective February 9, 2018:** For WIOA Youth programs only, DOL has said [service providers] should report a Youth program element as if it were funded by the WIOA program, regardless of the funding source. If a WIOA Youth participant receives program elements from another service provider, the WIOA Youth provider should record these in MIS in the same way as they would if the WIOA Youth program provided the component. As such, there is no federal reporting requirement to enter the service as “Paid by Other”. In terms of supporting documentation, DOL expects to find references to youth program elements delivered by non-WIOA providers in ISS or case notes.

# Outcomes

## Date of Most Recent Measurable Skills Gains (In-program Performance Indicator)

See more details under *“Youth Performance Indicators*”

**Definitions/Documentation Standards**

**20 CFR 677.155(c)(5):** **Measurable skill gains**, defined as **documented** academic, technical, occupational or other forms of progress towards such as credential or employment.

**Documented progress is defined** as one of the following:

* Documented achievement of at least one educational functioning level of a participant who is receiving instruction below the postsecondary education level;
* Documented attainment of a secondary school diploma or its recognized equivalent;
* Secondary or postsecondary transcript or report card for a sufficient number of credit hours that shows a participant is achieving the State unit’s academic standards;
* WIN 0098: The State has established the academic standard as a grade of “C” or higher as having met the academic standard.
* Note: Evan Rosenberg, Division of Youth Services, DOL ETA, “WIOA Youth Eligibility Live Q&A Session” on WorkforceGPS October 24, 2017: DOL does not require any specific information be documented on report cards. As long as there is sufficient information to convey the participant is making satisfactory progress, LWDBs can decide what, if anything specific must be on the report card.
* Satisfactory or better progress report, towards established milestones, such as completion of OJT or completion of 1 year of an apprenticeship program or similar milestones, from an employer or training provider who is providing training. Note: Evan Rosenberg, Division of Youth Services, DOL ETA, “WIOA Youth Eligibility Live Q&A Session” on WorkforceGPS October 24, 2017: “Progress” is determined at the local level.
* Successful passage of an exam that is required for a particular occupation or progress in attaining technical or
* occupational skills as evidenced by trade-related benchmarks such as knowledge-based exams.

**TEGL 10-16, Change 1:** The Measurable Skill Gains indicator is the percentage of participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving documented academic, technical, occupational, or other forms of progress, towards such a credential or employment. The measurable skill gains indicator is used to measure interim progress of participants who are enrolled in education or training services for a specified reporting period. It is not an exit-based measure.

**Performance Indicators**

**TEGL 10-16, Change 1:** A participant may have achieved more than one type of gain in a reporting period; however, only one gain per participant in a reporting period may be used to calculate success on this measure. States should **report all measurable skill gains** achieved by participants in a program year, although only one gain is required per participation period per program year to meet performance outcomes.

**Evan Rosenberg, Division of Youth Services, DOL ETA, “WIOA Youth Eligibility Live Q&A Session” on WorkforceGPS October 24, 2017:** This measure only counts the number of measurable skills gains reported. It does not count as a negative towards a program’s performance if a participant does not earn a measurable skill gain. Only one (1) measurable skill gain will be reported even if more than one (1) measurable skill gain is recorded in MIS.

**Counted in this Measure**

**TEGL 10-16, Change 1; ESD WIN 0098:** All ISY are included in the measurable skill gains indicator since they are attending secondary or postsecondary school.

Only OSY who are in one of the following are included in the indicator:

* Occupational skills training
* Secondary education at or above the 9th grade level during participation in the Youth program
* Postsecondary education during participation in the Youth program
* Title II-funded adult education at or above the 9th grade level during participation in the Youth program
* YouthBuild program during participation in the Youth program
* Job Corps during participation in the Youth program

**WIOA Joint Rule, Departments’ response, page 55842**: It should be noted that in instances where participants are enrolled in an education or training program that is not intended to result in a credential, the measurable skill gains indicator can capture progress made by participants.

**Excluded from this Measure**

**TEGL 10-16, Change 1:** Exits the program because of incarceration in correctional institution or has become a resident of an institution or facility providing 24-hour support such as a hospital or treatment center during the course of receiving services as a participant.

* Exits the program due to medical treatment lasting longer than 90 days and precludes entry into unsubsidized employment or continued participation in the program
* Deceased
* Exits the program due to called to active duty for at least 90 days
* The youth is in foster care and exits the program because the participant has moved from the local workforce area as part of such program or system.

**Enrollment Requirement**

**TEGL 10-16, Change 1:** Programs should not delay enrollment or services to participants until a new program year even if programs believe there is insufficient time for the participant to make any type of measurable skill gain by the end of that program year.

**ISS Requirement**

**TEGL 10-16, Change 1:** The type of skill gain should be based on the youth’s individual service strategy.

**Reporting/MIS Data Entry Requirements:**

Recording MSG in ETO instructions included Training 12 Meeting Minutes sent via email from Lynn Aue (ESD) on 8-7-19 and revised on 10-9-19:

Test and Results Page

Progress Report Page

* Element titled “Associated Program Enrollment” with a dropdown of cross-referenced active program enrollment values
* This is a required field: Element titled “Progress Report Type” with a dropdown of the following values: “Apprenticeship”, “OJT” and “Skills Progression”.
* This is a required field: Element titled “Is the progress satisfactory?” with response values of “Yes” and “No”.
* Element titled “Documentation” with the option to upload documents.
* Element titled “Notes” with a free form text field that allows 1200 characters.

Report Card or Transcript page:

* Element titled “Associated Program Enrollment” with a dropdown of cross-referenced active program enrollment values.
* This is a required field: Element titled “Credits or Units” with a free form text field that only allows numeric characters.
* This is a required field: Element titled “Does this meet the state unit’s academic standards?” with response values of “Yes” and “No”.
* Element titled “Documentation” with the option to upload documents.
* Element titled “Notes” with a free form text field that allows 1200 characters

Skill gains should be counted using the *date on which they occur*, not the date on which they are recorded, or documentation is received.

**Win 0098:** MSG is documenting an individual’s progress while receiving training or education services, so the **14-day calendar day requirement for real-time data** entry per WorkSource System Policy 1020 (Data Integrity and Performance Policy and Handbook) and WIN 0082, Change 1 on Real-Time Data Entry **does not apply.**

**TEGL 23-19 & ETA 9170 (PIRL): EFL:** **Record the most recent date** the participant who received instruction below the post-secondary education level achieved at least one EFL. **EFL gain may be documented in one of three ways:**

* By comparing EFL as measured by a participant’s post-test, or
* For State’s that offer secondary school programs that lead to a secondary school diploma or its recognized equivalent an, EFL gain may be measured through the awarding of credits or Carnegie units; or
* States may report an EFL gain for participants who exit the program and enroll in post-secondary education or training during the program year.

**Secondary Transcript/Report Card: Record the most recent date** of the participant’s transcript or report card for secondary education for one semester showing that the participant is meeting the State unit’s academic standards.

**Post-secondary Transcript/Report Card: Record the most recent date** the participant’s transcript or report card for post-secondary education who complete a minimum of 12 hours per semester, or for part time students, a total of at least 12 credit hours over the course of two completed consecutive semesters during the program year, that shows a participant is meeting the State unit’s academic standards.

**Training Milestone/Progress Reports: Record the most recent date** that the participant had a satisfactory or better progress report towards established milestones from an employer training provider who is providing training (e.g., completion of OJT, completion of one year of a registered apprenticeship program, etc.).

* Progress reports must document substantive skill development that the participant has achieved.
* Progress reports may include training reports on milestones completed as the individual masters the required job skills, or steps to complete an OJT or apprenticeship program.
* Increases in pay resulting from newly acquired skills or increased performance can also be used to document progress.

**Industry Exam, Skills Progression: Record the most recent date** the participant successfully passed an exam that is required for a particular occupation, or progress in attaining technical or occupational skills as evidenced by trade-related benchmarks such as knowledge-based exams.

## Date Attained and Type of Recognized Credential (In-Program and Exit-Based Performance Indicator)

See more details under *“Youth Performance Indicators*”

**Definition**

**TEGL 10-16, Change 1**: A recognized postsecondary credential is defined as a: Credential consisting of an industry-recognized certificate or certification, **or** A certificate of completion of an apprenticeship, **or** A license recognized by the State involved or Federal government, **or** An associate or baccalaureate degree. Graduate degrees only count for the Title IV VR programs

**For a list of public and private entities that issue recognized postsecondary credentials, see** [**TEGL 16-16, Change 1**](https://wdr.doleta.gov/directives/attach/TEGL/TEGL_10-16-Change1_Acc.pdf) **pages 13-14.**

**Types of Acceptable Credentials:**

**TEGL 10-16, Change 1; TEGL 23-19**: The following are acceptable types of credentials that count toward the credential attainment indicator:

* Secondary school diploma or recognized equivalent
* Associate’s degree
* Bachelor’s degree
* Occupational licensure
* Occupational certificate, including Registered Apprenticeship and Career and Technical Education educational certificates
* Occupational certification
* Other recognized certificates of industry/occupational skills completion sufficient to qualify for entry-level or advancement in employment.

**Evan Rosenberg, Division of Youth Services, DOL ETA, “WIOA Youth Eligibility Live Q&A Session” on WorkforceGPS October 24, 2017:** DOL does not define what specifically counts toward a credential. DOL intentionally defined credential in a fashion to allow states and LWDBs to make that determination as long as the state and LWDB determinations are based on DOL’s definition.

Although Even did state the following are considered credentials:

* CNA
* ACE Certificate

**Certificates/Credentials Not Included**

**TEGL 10-16, Change 1**: Certificates awarded by workforce development boards (WDBs) and work readiness certificates are not included in this definition because neither type of certificate is recognized industry-wide, nor documents the measurable technical or industry/occupational skills necessary to gain employment or advancement within an occupation. Likewise, such certificates must recognize technical or industry/occupational skills for the specific industry/occupation rather than general skills related to safety, hygiene, etc., even if such general skills certificates are broadly required to qualify for entry-level employment or advancement in employment.

**ESD Policy 1020 Data Integrity and Performance Policy and Handbook:** Credentials that do not count include, but are not limited to:

* First aid cards
* Food handler’s card
* Non-commercial driver’s license
* Completion of WEXs

**Guidance from ESD Policy to ESD Monitoring on 2-1-18**: WEX **or** Locally Authorized Credential Earned

**Guidance from ESD Policy to ESD Monitoring on 2-16-18**: Microsoft Digital Literacy *(it does not meet the definition of industry recognized credential)*

**Evan Rosenberg, Division of Youth Services, DOL ETA, “WIOA Youth Eligibility Live Q&A Session” on WorkforceGPS October 24, 2017:** Even though DOL will not define what counts as a credential, Evan did state the following common trainings do not count as a credential or occupational skills training:

* CPR
* OSHA 10
* Work readiness
* Completion of assistive technology training program (screen reading software)
* Certificates related to hygiene and safety that are broadly required for entry level employment

**Documentation Requirement**

**Federal Register Vol. 80, No. 140; TEGL 23-19:** Diplomas, degree, or certificate must be attained either during participation or within one year of exit.

**Reporting/MIS Data Entry Requirements**

**TEGL 10-16, Change 1**: Participants Who Count in the Measure,Participants who exit and are in a postsecondary education or training program, or who are in a secondary education program (at or above the 9th grade level) without a secondary school diploma or equivalent (excluding those in OJT and customized training) who are*employed or enrolled in an education or training program leading to a recognized postsecondary credential within 1 year following exit***.**

* Such employment or enrollment in an education or training program only needs to be for some period during the 4 quarters after exit, not for the entire 1-year period after exit. (WIOA Joint Rule, Departments’ responses: Page 55841)
* All ISY since they are attending secondary or postsecondary school

Only OSY who participate in one of the following:

* Occupational skills training
* Secondary education at or above the 9th grade during participation in the Youth program
* Postsecondary education during participation in the Youth program
* Title II-funded adult education at or above the 9th grade level during participation in the Youth program
* YouthBuild during participation in the Youth program
* Job Corps during participation in the Youth program

Excluded from the Measure:

* Participants who exited a program:
* Who were enrolled in OJT only
* Who were enrolled in Customized Training only
* Incarcerated
* Medical treatment
* Deceased
* Called to active duty
* Foster Care & Moved from Local Workforce Area

One-year of Follow-up Required: Reporting on this indicator requires a full year of follow-up to determine if a credential was attained within one year after exit and to determine employment or entry into postsecondary education or training for those who attain a secondary school diploma or recognized equivalent.

**TEGL 23-19: Secondary Education:** Record if the participant was enrolled in a Secondary Education Program at or above the 9th Grade level. A Secondary Education Program includes both secondary school and enrollment in a program of study with instruction designed to lead to a high school equivalent credential. Examples may include adult high school credit programs and programs designed to prepare participants to pass recognized high school equivalency exams such as GED. Programs of study designed to teach English proficiency skills or literacy skills below the 9th grade equivalent are not considered Secondary Education Programs.

**Post-secondary Education:** Record if the participant was in a post-secondary program that leads to a credential or degree from an accredited post-secondary education institution *at program enrollment or at any point during program participation.*

**Date Enrolled:** Record the date the participant was enrolled during program participation in an education or training program that leads to a recognized post-secondary credential, including a secondary education program, or training program that leads to employment as defined by the core program in which the participant participates whether *at program enrollment or at any point while participating in the program.* If the participant was enrolled in post-secondary education at program entry, the date in this field should be the date of Program Entry.This includes but is not limited to participation in Job Corps or YouthBuild or Adult Education or secondary education programs.

**Note:** This data element applies to the **Measurable Skill Gains Indicator** and specifically will be utilized to calculate the denominator.

**DOL ETA PIRL 9170:** Record the date on which the participant attained a recognized credential. Use the appropriate code to record the type of recognized diploma, degree, or a credential consisting of an industry-recognized certificate or certification, a certificate of completion of a Registered Apprenticeship, a license recognized by the State involved or Federal Government, or an associate or baccalaureate degree attained by the participant who received education or training services.

Note: Diplomas, degrees, licenses or certificates must be attained either during participation or within one year of exit. This data element applies to both the Credential Rate indicator and the Measurable Skills Gain indicator for all programs.

**Evan Rosenberg, Division of Youth Services, DOL ETA, “WIOA Youth Eligibility Live Q&A Session” on WorkforceGPS October 24, 2017:** Only one (1) credential will be reported even if more than one credential is recorded in MIS. *All credentials earned must be recorded in MIS.*

# Program Exit

## Date and Reason for Program Exit

**System Exit:**

**ESD Policy 1020 Handbook: “Exit”** refers to a participant who has not received a qualifying service funded by any qualifying program in the WorkSource system **for 90 consecutive calendar days** and is not scheduled to receive future qualifying services. **“Exit Date”** is a system-derived date determined after a participant has not received any qualifying service for 90 consecutive calendar days and is not scheduled to receive future services. In accordance with TEGL 17-05, the exit date is applied retroactively, after a 90-day period without qualifying services to the last day on which the individual received a qualifying service provided by any qualifying program. Individuals who are participating in more than one program will have a single common exit date based on the last completed qualifying service. This ensures that the exit date always represents the date of the last service delivered to a participant.

**20 CFR 677.150(c)(1): Exit** is the last day of service. The last day of service cannot be determined until at least 90 days have elapsed since the participant last received services; services do not include self-service, information-only services, activities, or follow-up services. This also requires that there are no plans to provide the participant with future services.

**Evan Rosenberg, Division of Youth Services, DOL ETA, “WIOA Youth Eligibility Live Q&A Session” on WorkforceGPS October 24, 2017:** The Common Measures definition of exit is that of no services provided or planned. If service is planned (and recorded as planned in the MIS) the system will not exit after 90 days because a planned service is recorded in the system.

**ETA 9170 (PIRL):** The last date the participant received services that are not self-service, information-only, or follow-up services. And only if there are no future services that are not self-service, information-only or follow-up services, planned from the program.

**Other Reasons for Exit:**

**TEGL 23-19**: Incarcerated in a correctional institution or has become a resident of an institution or facility providing 24-hour support such as a hospital or treatment center during the course of receiving services as a participant. Medical treatment expected to last longer than 90 days and precludes entry into unsubsidized employment or continued participation in the program. Deceased. Member of National Guard or other reserve military unit of the armed forces and is called to active duty for at least 90 days. The youth is in Foster Care and exits the program because the participant has moved from the area as part of such a program or system.

**Program Completion:**

**ESD Policy 1020 Handbook:** *The date of program completion is the date of the final program-funded qualifying service*. In this sense, it is unlike the exit date, which is common across all programs rather than specific to a particular program**.** *The program completion date may or may not be the same as the exit date. The program completion date will be equal to or less than the exit date.*

**Program Completion vs System Exit**

**ESD Policy 1020 Handbook: Exit dates** **are not the same as program completion dates**. A **system exit** date is the same as a **program completion date *only*** when participants do not receive a qualifying service from another program within 90 days. Allowing staff to enter a program completion date provides program administrators the ability to maintain accountability standards for each service provider, regardless of the actual exit date.

**Reporting/MIS Data Entry Requirements**

**TEGL 23-19**: Record the last date the participant received services that are not self-service, information only, or follow-up services. Record the last date of receipt of services only if there are no future services that are not self-service, information-only, or follow-up services planned from the program. For Titles I, II and III, record the last date of funded service(s).

**ESD Policy 1020 Handbook**: (In MIS), the fields “Completion Outcome” and “Program Completion Date” should reflect when and why program services have ended. However, on 9-25-18, ESD Policy clarified to the ESD Monitoring Unit that while Policy 1020 Handbook encourages the recording of the “Completion Outcome” and “Program Completion Date” in MIS, it is not a requirement for DOL reporting purposes.

## School Status at Program Completion

**MIS Documentation Requirements**

**WIN 0100:** Staff must enter data on youth school status at exit into the case management system in the following sequential order of precedence:

* School status at exit if known (the most accurate outcome);
* Last known documented school status, after participation has begun, if school status at exit is unknown;
* School status at start of participation, if school status at exit is unknown and there is otherwise no documentation as to school status other than that at start of participation.
* By following the aforementioned order of precedence, staff will be recording the last known school status of WIOA Title I youth participants. This will ensure that the case management system has the required data, so no records are rejected or excluded from our federal performance reports for lack of this data element.

**School Status**

|  |  |
| --- | --- |
| * **ISY:** In-school, HS or less * **ISY:** In-school, Alternative School * **ISY:** In-School, Post-HS | * **OSY**: Not attending school or HS Dropout * **OSY:** Not attending school; H.S. Graduate |

**IN-SCHOOL YOUTH:**

**ESD WS System Policy 1019, Rev. 4:** Washington’s Open Doors program recognizes a range of models or approaches with varying degrees of school or school district engagement. DOL acknowledges that Washington’s ISY and OSY determination is situational and depends on the degree to which schools and school districts are service providers and funders in Drop-out re-engagement programs*. If schools or school districts are substantially directive, invested, and accountable (e.g., WIOA program only provides supportive services to participants), those youth should be designated ISY.*This also applies to dropout re-engagement programs not connected to Open Doors.

**TEGL 21-16:** If a youth is enrolled in the WIOA youth program during the summer and is in between school years, the youth is considered an **ISY** if they are enrolled to continue school in the fall. If a youth is enrolled in the WIOA youth program between high school graduation and postsecondary education, the youth is considered an ISY if they are registered for postsecondary education, even if they have not yet begun postsecondary classes at the time of WIOA youth program enrollment. If the youth participant is enrolled in *any credit-bearing postsecondary education classes, including credit-bearing community college classes and credit-bearing continuing education classes*, then they are considered attending postsecondary education, and, therefore, in **ISY**.

**WIN 0084:** Homeschooled youth who meet the WA State requirements at [RCW 28A.200](http://app.leg.wa.gov/RCW/default.aspx?cite=28A.200) and [28A.225.010(4)](http://app.leg.wa.gov/RCW/default.aspx?cite=28A.225.010) are considered **ISY**.

**ESD WS System Policy 1019, Rev. 4:** Individuals whose home-schooling activity meets the requirements of at [RCW 28A.200](http://app.leg.wa.gov/RCW/default.aspx?cite=28A.200) and [28A.225.010(4)](http://app.leg.wa.gov/RCW/default.aspx?cite=28A.225.010) can seek eligibility as ISY; if not, they need to meet OSY eligibility criteria.

**OUT-OF-SCHOOL:**

**WIN 0084, Change 1 & ESD WS System Policy 1019, Rev. 4:** Washington’s Open Doors program recognizes a range of models or approaches with varying degrees of school or school district engagement. DOL acknowledges that Washington’s ISY and OSY determination is situational and depends on the degree to which schools and school districts are service providers and funders in dropout re-engagement programs**. If schools or school districts, despite having enrolled the youth into school, largely cede service provision to other entities (e.g., WIOA Title I youth providers, community-based organizations, non-profits), have minimal financial investment, and require little or no district-based accountability of participants, youth in those programs *can be designated OSY.***

**WIN 0084, Change 1**, *Local**areas must thoroughly document the case for OSY designation when youth participants in dropout re-engagement programs are enrolled in school*.

**TEGL 21-16:** If a youth graduates high school and registers for postsecondary education, but does not ultimately follow through with attending postsecondary education, then such a youth would be considered an **OSY** *if the eligibility determination is made after the point that the youth decided not to attend postsecondary education.* If the youth participant is only enrolled in **non-credit-bearing postsecondary** classes, they would not be considered attending postsecondary school and, therefore, an **OSY.**

**WIN 0084:** Homeschooled youth who do not meet the WA State requirements at [RCW 28A.200](http://app.leg.wa.gov/RCW/default.aspx?cite=28A.200) and [28A.225.010(4)](http://app.leg.wa.gov/RCW/default.aspx?cite=28A.225.010) are not considered **ISY** and need to meet the **OSY** eligibility criteria.

**WIN 0084, Change 1, in reference to “Open Doors” and other re-engagement programs:** DOL acknowledges that Washington’s ISY and OSY determination is situational and largely dependent on the degree to which schools and school districts as service providers and funders indropout re-engagement programs. If schools or school districts, despite having enrolled the youth into school, largely cede service provision to other entities (e.g., WIOA youth providers, CBOs, other non-profits), have minimal financial investment, and require little district-based accountability of participants, youth in these programs can be **designated OSY.** Conversely, if schools or school districts are substantially directive, invested, and accountable (e.g., WIOA program only provides supportive services to participants), those youth should be **designated ISY**. This test also applies to dropout re-engagement programs not connected to Open Doors.

**Not Considered “SCHOOLS”**

**20 CFR 681.230**: For the purposes of WIOA, the Department **does not consider the following to be** **schools:**

* Providers of adult education under Title II of WIOA,
* Youth Build programs,
* Job Corps program,
* High school equivalency programs, or
* Dropout re-engagement programs (Open Doors/1418).

## Date Enrolled in Post-Exit Education or Training Program Leading to a Recognized Post-Secondary Credential

See more details under *“Youth Performance Indicators*”

**Applies To:**

**WIOA Sec. 116(b)(2)(A)(iii):** This is *only for participants who*exited secondary education and*obtained a high school credential or its recognized equivalent.*

**TEGL 23-19 & ETA 9170 (PIRL):** This element only applies to participants who exited secondary education and obtained a secondary school diploma or its equivalency per sec 116(b)(2)(A)(iii). This data element applies to the Credential Rate numerator. This element is not to be confused with “Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Post-secondary Credential or Employment” which encompasses all education and training program enrollment and captures those enrolled during program participation, not post-exit.

**Documentation Requirement**

**Federal Register Vol. 80, No. 140- Information Collection for WIOA:** Documentation supporting the **date the participant is enrolled** in an education or training program that leads to a recognized postsecondary credential **after program exit** *(completion).*

**Reporting/MIS Data Entry Requirements**

**TEGL 23-19:** Record the date the participant is enrolled in an education or training program that leads to a recognized post-secondary credential after program exit.

# PE# 9 Follow-Up Services

**MIS:**

**WIN 0077, Change 9;** WorkSource Service Catalog:

* Financial Literacy in Follow-up, effective budgeting and spending, etc. (Youth Only)
* Labor Market Information Services in Follow-up (Youth Only)
* Mentoring in Follow-up (Youth Only)
* Other Follow-up Assistance with Work-related Problems (Youth Only)
* Post-secondary Preparation and Transition Activities in Follow-up (Youth Only)
* Support Services in Follow-up (Youth Only)

**When to provide follow-up Services**

**20 CFR 681.580(a):** Follow-up services are critical services provided following a youth’s exit from the program to help ensure the youth is successful in employment and/or post-secondary education and training.

**TEGL 10-16, Change 1 and 21-16:** Because the date of exit is retroactive to the last date of service, *follow-up services may begin immediately following the last date of service if it is expected that the participant will not receive any future services other than follow-up services.*

**Evan Rosenberg, Division of Youth Services, DOL ETA, “WIOA Youth Eligibility Live Q&A Session” on WorkforceGPS October 24, 2017:**

* Follow-up starts 90 days after exit. Exit is retro to the last date of service. Therefore, you will not know the official last date of service/exit date until 90 days pass.
* If you absolutely know that a certain date is the actual exit date, DOL strongly encourages the provision of follow-up services on that date. Otherwise, wait 90 days to confirm actual last date of service/exit date.

**Allowable Services**

**20 CFR 681.580(b): Follow-up services for youth also may include the following program elements:**

* Supportive services;
* Adult mentoring;
* Financial literacy education;
* Services that provide labor market and employment information about in-demand industry sectors or occupations available in the local area, such as career awareness, career counseling, and career exploration services; and
* Activities that help youth prepare for and transition to postsecondary education and training.

**Evan Rosenberg, Division of Youth Services, DOL ETA, “WIOA Youth Eligibility Live Q&A Session” on WorkforceGPS October 24, 2017:** States and LWDBs can restrict certain types of supportive services during follow-up.

**Requirements**

**20 CFR 681.580(c) & TEGL 21-16:** All youth participants must be offered an opportunity to receive follow-up services that align with their individual service strategies. Follow-up services must be provided to all participants for a minimum of 12 months *unless the participant declines to receive follow-up services or the participant cannot be located or contacted****.*** Follow-up services may be provided beyond 12 months at the State or Local WDB’s discretion. The types of services provided, and the duration of services must be determined based on the needs of the individual and therefore, the type and intensity of follow-up services may differ for each participant. Follow-up services must include more than only a contact attempted or made for securing documentation in order to report a performance outcome.

**TEGL 21-16**: At the time of enrollment, youth must be informed that follow-up services will be provided for 12 months following exit. If at any point in time during the program or during the 12 months following exit the youth requests to opt out of follow-up services, they may do so. In this case, the request to opt out or discontinue follow-up services made by the youth must be documented in the case file.

**Reporting/MIS Data Entry Requirements**

**TEGL 10-16, Change 1 and 21-16:** **Provision of follow-up services does not extend the date of exit.** The 12-month follow-up requirement is completed upon one year from the date of exit.

**TEGL 21-16**: Follow-up services **should be documented in the case file** that they were provided as follow-up services post exit.

**WIN 0084, Change 1:** None of the five follow-up activities listed in 20 CFR 681.580(b) extend participation when delivered **as part of post-exit follow-up services**; Whereas all of the five activities listed in 20 CFR 681.580(b) do trigger and extend participation **when delivered as program elements during participation**.

**WIN 0077, Change 9:** Per TEGL 21-16, case notes should be used to document services were provided as follow-up services post-exit.

**MIS Data Entry Requirements**

**WIN 0082, Change 1: Effective 2-15-17,** the minimal WIT data entry requirements are as follows: Services must be entered at the point in time they are delivered; If services cannot be entered at the time they are delivered, Basic Services and ITSS services must be entered *within 14 calendar days* of service delivery and the *service date entered must always reflect the date the service was delivered.*

**ESD Policy 1023 – Co-enrolled Integrated Service Delivery Policy and Operations Manual Handbook:** All services must be linked to an Active Program Enrollment.

**ESD Policy 1020 Data Integrity and Performance Policy and Handbook:** Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system. **Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained.**

**WIN 0089, Effective February 9, 2018:** For WIOA Youth programs only, DOL has said [service providers] should report a Youth program element as if it were funded by the WIOA program, regardless of the funding source. If a WIOA Youth participant receives program elements from another service provider, the WIOA Youth provider should record these in MIS in the same way as they would if the WIOA Youth program provided the component. As such, there is no federal reporting requirement to enter the service as “Paid by Other”. In terms of supporting documentation, DOL expects to find references to youth program elements delivered by non-WIOA providers in ISS or case notes.

# Data Validation, Data Integrity

**Types of Source Documentation - TEGL 23-19**

For most data elements, the validation guidelines provide multiple forms of acceptable source documentation. If the grantee collects multiple sources for the same data element and the sources conflict, the most objective source should be used to determine if the data element is valid and accurate.

These source documentation types include:

1. Cross-Match: A cross-match requires validators to find detailed supporting evidence for the data element in a database. An indicator or presence of a Social Security Number (SSN) in an administrative non-WIOA database, i.e., a database not maintained by a WIOA core program such as data from the State’s Department of Motor Vehicles, is not sufficient evidence for a cross-match. State validators must also confirm supporting information such as dates of participation and services rendered. States must have data sharing agreements in place as appropriate.
2. Self-Attestation: Self-attestation (also referred to as a participant statement) occurs when a participant states his or her status for a particular data element, such as pregnant or parenting youth, and then signs and dates a form acknowledging this status. The key elements for self-attestation are: (a) the participant identifying his or her status for permitted elements, and (b) signing and dating a form attesting to this self-identification. The form and signature can be on paper or in the State management information system, with an electronic signature.
3. Case Notes: Case notes refer to either paper or electronic statements by the case manager that identify, at a minimum, the following: (a) a participant's status for a specific data element, (b) the date on which the information was obtained, and (c) the case manager who obtained the information.
4. Electronic Records: Electronic records are participant records created, stored or transferred in a form that only a computer can process and maintained in the State's management

## Self-Attestation

**Definition:**

**ESD WS System Policy 1019, Rev. 4 & TEGL 23-19:** Self-attestation occurs when a participant (applicant) states his or her status for a particular data element, such as pregnant or parenting youth, and then signs and dates a form acknowledging this status. **The key elements for self-attestation are:**

* A participant (applicant) identifying his or her status for a permitted data element; and
* Signing and dating a form attesting to this self-identification.

Self-attestation **can also be** in the form of a **signed and dated WIOA eligibility application** that is either in **paper format** or one of two forms of electronic documentation (a scanned and uploaded copy of the paper document ***or* an application in the State’s case management system** **with the participant’s date-stamped electronic signature**).

**Documentation**

**ESD WS System Policy 1019, Rev. 4:** To ensure proper documented customer self-attestation, ESD strongly encourages LWDBs to use the self-attestation forms provided in Section 7 of the ESD WS System Policy 1019, Rev. 4 Handbook or local versions that are substantially similar.Improperly documented self-attestation or self-attestation on eligibility elements not permitted under federal law, or guidance, or this policy, may result in disallowed costs. DOL further *recommends* that staff *document the reason for using self-attestation in case notes.*

**ISD Co-enrollment: *Self-attestation for Basic Career Services Only:***

**Allowable:**

**ESD WS System Policy 1019, Rev. 4:** Local areas formally implementing Integrated Service Delivery with co-enrollment can utilize self-attestation to document, **for Basic Career Services onl**y, that participants are:

* Age (18 years or older),
* Legally entitled to work in the U.S., and
* Registered with the Selective Service (as applicable)

**If those participants subsequently pursue individualized career services or training services, full eligibility documentation is required.**

**Exception:**

**ESD WS System Policy 1023, Rev. 1:** Job seekers do not need to complete a full eligibility determination to receive Individualized Career Services that are delivered in a workshop or group settings. These workshops will be recorded as “miscellaneous workshops” and **each local area will develop guidance** to help service providers identify which, if any, Individualized Career Services will be provided as Basic Career Services in workshop settings.

**Policy Requirement**

**ESD WS System Policy 1019, Rev. 4:** LWDBs must address the following at the local level: LWDB determinations regarding the use of self-attestation when allowed.

**ESD WS System Policy 1023, Rev. 1 (ISD):** LWDBs must address the following components at the local level: Whether or not to use Self-attestation for the locally established parameters. **ISD:** Local areas that opt to validate age and selective service at the time of co-enrollment for basic career services must indicate this in their local policies/guidance (as opposed to accepting self-attestation for basic services only).

## MIS

**Accurate Data Reporting**

**20 CFR WIOA Joint Rule Departments’ response, page 55793:** A critical part of the implementation of WIOA is the collection and reporting of **accurate, timely information about individuals who receive services** through the programsauthorized under the law**. Such information is critical to inform public policy and support analysis of effective strategies.**

**20 CFR 677.240: States must ensure that they submit complete annual performance reports that contain information that is valid and reliable,** as required by WIOA sec. 116(d)(5). If a State fails to meet these standards, corrective actions may include the State providing training for its sub-recipients.

**WIN 0082, Change 1:** The minimal WIT data entry requirements are as follows:

* Services must be entered at the point in time they are delivered;
* If services cannot be entered at the time they are delivered, services must be entered within 14 calendar days of service delivery and the service date entered must always reflect the date the service was delivered.
* These data limitations do NOT impact any other Touchpoints including follow-up or placement information in Touchpoints.
* When a service is provided, the appropriate qualifying service must be identified, even if case notes are entered.
* Qualifying services are identified in the WorkSource Service Catalog.
* Services should only be entered when delivered to a participant and only actual services should be entered.
* Case notes should support, not contradict service entries.
* Case notes should not be entered to represent service delivery without also entering a qualifying service from the WorkSource Service Catalog.
* Services should not be recorded if only a voice message was left or an email delivered as they only represent the intent to provide service as opposed to the actual provision of services.

**Reporting/MIS Data Entry Requirements**

**ESD Policy 1020 Data Integrity and Performance Policy and Handbook:** Services within the WorkSource Service Catalog are the source data for performance and outcome measurements across the WorkSource system. *Stakeholders within the system must review the Services Catalog on a regular basis to ensure their knowledge of available services and definitions is maintained*.

**TEGL 10-16, Change 1, Attachment 7, Table B:** All youth program elements are considered “Career Services” with the exception of occupational skills training which is categorized as “training”.

Note that the categorization of career and training services for youth differs from the Adult and DW programs.

**TEGL 21-16:** Documenting receipt of program elements is critical to ensure that youth who are actively participating in programs do not get unintentionally exited due to 90 days of no service. All 14 WIOA youth program elements are contained in the PIRL and local **youth programs should ensure that services received are reported in the applicable program element in the PIRL.** Case management is the act of connecting youth to appropriate services and is not a program element.

**ESD Policy 1023 – Co-enrolled Integrated Service Delivery Policy and Operations Manual Handbook:** The job seeker is counted in the service pool when a qualifying service is recorded *and* linked to an Active Program Enrollment. All services must be linked to an Active Program Enrollment.

**20 CFR 677.160:** State **performance reports must provide**, at a minimum, information on the **actual performance levels achieved** with respect to the total number of participants served and the total **number of participants who exited** each of the core programs **including disaggregated counts of those who participated in and exited a core program, by**:

* Individuals with barriers to employment as defined in WIOA sec. 3(24) and
* Co-enrollment in any of the programs in WIOA sec. 116(b)(3)(A)(ii).
* Information on the performance levels achieved for the primary indicators of performance for all of the core programs including disaggregated levels for Individuals with barriers to employment, age, sex; and race and ethnicity.
* The number of participants who received career serves and the total number of participants who exited from career services and training services;
* Information on the performance levels achieved for the primary indicators of performance for career and training services;
* Percentage of participants in a program who attained unsubsidized employment related to the training received;
* Amount of funds spent on career services and training services; and
* Average cost per participants for those who received career and training services, respectively

**20 CFR 677.170(c)(2):** State levels of performance for primary indictors consist of, among other things:

* Indicators of poor work history;
* Lack of work experience;
* Lack of educational or occupational skills attainment;
* Dislocation from high-wage and high-benefit employment;
* Low levels of literacy;
* Low levels of English proficiency;
* Disability status;
* Homelessness;
* Ex-offender status; and
* Welfare dependency

**20 CFR 677.235**: On a quarterly basis, each State must submit to the Secretary of Labor individual records that include **demographic information**, information on **services received**, and information on resulting **outcomes for each reportable individual**.

# Case Notes

**DOL Definition**

**TEGL 23-19**: Paper or electronic statements by the case manager that identifies, at a minimum, the following:

* A participant’s status for a specific data element,
* The date on which the information was obtained and
* The case manager who obtained the information.

**Reporting**

**ESD Policy 1020:** Case notes should support and not contradict service entries. Case notes should not be entered to represent service delivery without also entering a qualifying service from the Services Catalog.

**WIN 0088:** Recording case notes is critical because it weaves each service element into a comprehensive service plan. Individualized case notes provide a complete, accurate, and concise explanation of frequency and type of contact with participants, including the types of services provided and the outcomes associated with those services. Case notes are a tool to help service providers organize and analyze the information gathered on participants and to plan case management strategies. It is imperative that Local Workforce Development Boards (LWDBs), their Title I sub-contractors, one-stop system partners, and federal and state monitors/auditors, be able to recognize and discern each service and expenditure provided to, and made on behalf of, a one-stop system customer. Case notes should not be entered to represent service delivery without also entering a qualifying service from the WorkSource Services Catalog (see WIN 0082, Change 1).

**Confidential information**

**WIN 0023; WIN 0088**: Any case notes containing confidential information, such as medical information, must be kept in a separate file and in a secure location apart from the participant’s regular program file.

**ESD Monitoring Team recommendations**

Case notes should include detailed information about the participant’s eligibility, the participant’s service needs, services provided to the participant, outcomes of those services and general case management provided.

Case notes should provide the whole story of the participant; do not just focus on one activity (e.g. GED, WEX).

**Late Service Entry - WIN 0082, Change 1 (Sept 30, 2020)**

For any Activity Start Date of Basic and ITSS services errors identified after the 14-day calendar restriction, *staff must correct the errors and request Department Head review and approve the correction*. Department Head approval must be documented with a case note. **The case note must identify** *the service name, the reason for the correction, and the Department Head’s review and approval of the correction.*

# Miscellaneous Observations

This element covers all other observations not accounted for on this tool. Examples of “miscellaneous observations” may include, but are not limited to:

* Loose, unattached documents located in a hard file
* Medical references in the file
* Names of other program participants located in the file
* Other “miscellaneous observations”