STATE WORKFORCE INNOVATION COUNCIL (SWIC)
EDUCATIONAL REVIEW COMMITTEE (ERC)

November 10, 2011
10:00 a.m. – 12:30 p.m.
Indiana Government Center South
Conference Room 12
INDIANAPOLIS, IN

Present: Dan Clark, James Dunn, Leroy Jackson Jr., Derek Redelman
Present via conference call: Debra Williams
Absent: Teresa Lubbers, Dennis Rohrs

Also Present: From the Indiana Department of Workforce Development (DWD): Jackie Dowd, Marie Mackintosh, Brenda Johnson, Monica Markovich and Donna Lovelady

The meeting was called to order by Dan Clark, at 10:10 a.m.

Jackie Dowd shared information on the new process for posting committee meeting minutes on the SWIC website. A new process for posting minutes was approved at the last SWIC Executive Committee meeting. From here on minutes will be typed up and sent out to appropriate committee members within 24-48 hours of the meeting. The members will then have five days to comment on the minutes. On the 5^{th} day the minutes will be posted on the website as 'draft'.

The September 8, 2011 meeting minutes (Handout #1) were presented for approval. Motion to approve was made by Leroy Jackson; seconded by James Dunn. All were in favor and the motion was approved.

An update was presented on the impact of the new customer flow policy. Monica Markovich gave a Summary of Changes to the Customer Flow Policy (Handout #2) and the DWD Policy 2010-12 WorkOne Customer Flow Policy Draft (Handout #3) to all present.

Discussion

1. Support/cooperation of state community colleges, in referring low-scoring students to Adult Education for remediation, is not widespread at this time.
2. Our focus is on WIA clients that we already reach.
3. Marie Mackintosh is seeking to work with Ivy Tech's remedial education vice-president for possible collaboration.
4. Worldwide Interactive Network, Inc. (WIN) offers a wide array of e-learning solutions for education, workforce development, economic development, learning management and Career Readiness and is being used by DWD as an assessment and skills training tool. It is being used statewide, with better results and cost saving.

The committee will vote on the updated policy at the December 15, 2011 meeting.

Brenda Johnson presented an update on training programs submitted for WIA eligibility and posting on INTraining.

No questions were raised after reading the IN Training Program: Monthly Activity Report. (Handout #4)

The training provider recommendations (Handout #5) were discussed.

Question: Why are out-of-state providers being included?

Answer: These providers are usually close to an Indiana border and provide a needed service for that area.

Dan Clark asked if anyone had any questions.

Derek Redelman moved to follow the DWD staff recommendations on approvals and denials for the training providers. Leroy Jackson seconded the motion. All were in favor and the motion was approved.

Gary Gatman, Regional Operator's office in Region 3, joined us by telephone to give more information on the customer flow policy impact in his region. (Handout #6—DWD)

Discussion

Mr. Gatman stated that the numbers of customers served is increasing, due in part to on-site service provided at the workplace.

Question: Is similar work being conducted in other regions?

Answer: Other regions are also attempting to make these improvements to serve more customers, better and faster. (Gary Gatman)

Question: Are intensive services being offered on an increasing basis?

Answer: Thirty-five hundred in Region 3 have received intensive services. Career counselors are receiving continuing training to provide these services. (Gary Gatman)

Question: Explain core versus intensive services.

Answer: Core services are provided for the walk-in customer and include job referrals, job fair information, etc. Intensive services include one-to-one counseling and the customer must be fully enrolled. (Gary Gatman)

Question: What is the intake process?

Answer: A demo is used to gather information for screening. A triage approach is used to determine strengths/weaknesses in academics, technical knowledge, and other skills.

Question: As the customer enters the facility, how are they directed to various services such as Unemployment Insurance or training?

Answer: Every individual receives career services training. Information is gathered from and provided to the customer before they are categorized. (Gary Gatman)

Jackie Dowd next presented eight (8) Adult Education policies for review.
She noted that all policies being reviewed have received feedback from the Adult Education field and have been vetted by the DWD legal department and the Commissioner's office. When legislation was signed in spring of 2011, moving Adult Education from the Indiana Department of Education to DWD, all the rules and regulations set by the Indiana Board of Education were nullified.
This committee will vote on the policies at the December 2011 meeting.

1. Adult Education Funding (Handout #7A)
   Discussion
   - Adult Secondary Credit (ASC) classes—who should fund these?
   - Should money that "attaches" to the 16 or 17 year-old "follow" the student from K-12 to another federally-funded program, such as ASC?
   - (For this program year, DWD will pay $550 per ASC student in an AE program.)
   - Can this policy state that, due to limited Adult Education funding, we cannot continue to serve those less than 18 years of age?

2. Data Collection and Reporting (Handout #7B)
   Discussion
   - What is a contact hour? The first twelve hours may include instructional time and assessments.

3. Distance Education (Handout #7C)
   Discussion
   - Should policy mandate the curricula being used? DWD is confident that these (Pearson's MyFoundationsLab and WIN) are the best curricula available and will be receiving feedback from the AE field. The one year contract will allow AE the flexibility to change if desired or necessary. It is more efficient to have one tool being used by all AE to facilitate reporting of outcomes and student progress. (Jackie Dowd)

4. GED Testing (Handout #7D)
   Brief discussion of the retest eligibility process—only three times in one calendar year is allowed by the GED Testing Service.

5. Indiana's Assessment Policy for Adult Education (Handout #7E)

6. Professional Qualifications and Development (Handout #7F)
   Discussion
   - Is it effective to mandate the hours of professional development (PD)? Does it add value for the program and for the students? The AE field has asked for guidelines on suggested number of PD hours; the Office of Adult and Vocational Education (OVAE) requires the collection of this data. (Jackie Dowd)
   - The focus should be on the content needed rather than the number of hours spent in a workshop.

(AE Policies Review, continued)

7. Program Monitoring and Improvement Policy (Handout #7G)

8. Adult Education Program Standards (Handout #7H)

No public comments.

The December meeting will be held on the 15th, prior to the full SWIC meeting. If possible, members will need to arrive at 8:00 a.m. to allow time for discussion of Prior Learning Assessments (PLA). This committee needs to send a recommendation to the SWIC regarding the use of Workforce Investment Act funds for PLA. (See the minutes/handouts from the July 14, 2011 ERC meeting for information on PLA.)

STATE WORKFORCE INNOVATION COUNCIL (SWIC)
EDUCATIONAL REVIEW COMMITTEE (ERC)

September 8, 2011
8:30 – 9:45 a.m.
Indiana Government Center South
Conference Room 12
INDIANAPOLIS, IN

Present: Dan Clark, James Dunn, Leroy Jackson Jr., Derek Redelman
Present via conference call: Debra Williams
Absent: Teresa Lubbers, Dennis Rohrs

Also Present: From the Indiana Department of Workforce Development (DWD): Gina DelSanto, Jackie Dowd, Marie Mackintosh, Brenda Johnson, Cory Mahon, Fady Qaddoura, and Donna Lovelady

The meeting was called to order by Dan Clark, at 8:43 a.m.

Ivy Tech Community College and Vincennes University: **P**rior **L**earning **A**ssessments (PLA)**—** A Follow Up to the July 14, 2011 Council for Adult & Experiential Learning (CAEL) presentation.

Jackie Dowd opened this discussion by stating we are gathering information to make a recommendation to the SWIC on the efficacy of this program. We need to determine the cost-benefit for our clients and DWD.

Joining us by telephone from Vincennes University (VU) were Don Kaufman, Dean of Extended Studies and Shanni Simmons, Director of Distance Education. Presenting in person was Cherry Kay Smith, Ph.D., Assistant Vice President of Academic Policy, Assessment and Achieving the Dream from Ivy Tech Community College of Indiana.

DISCUSSION NOTES:

- <u>Vincennes University</u> (Mr. Kaufman and Ms. Simmons)**—**the predominant number of PLA students have been former military personnel. Over the past three years, VU has had 6 students enrolled in the PLA program through Distance Education. All students were non-traditional students aged 21-50. Most traditional students are entering college straight from high school and have had no opportunity to accrue PLA experiences. Currently, the student tuition cost for a portfolio course is $514.80. The student is allowed to submit up to 15 possible equivalent college credits. The student is charged $40.00 for each credit submitted for evaluation. The $40.00 per credit is for the evaluation.
- <u>Ivy Tech Community College</u> (Ms. Smith)—most students are encouraged to check into the PLA program. Students are allowed to have one PLA portfolio per course at a cost of $50-75 per portfolio. (See Handout #1—Prior Learning Assessment at Ivy Tech Community College)

Both VU and Ivy Tech offer counseling to PLA students through orientation and advisors.

Gina DelSanto suggested bringing more information on PLA to the next ERC meeting to determine if this is a course we will pursue. Mr. Jackson stated that since completion (in post-secondary institutions) is an issue, the head start offered by PLA will have a benefit.

SWIC State Business/BOS-WIB Business

Mr. Clark called for a motion to approve the July 14, 2011 ERC minutes. Mr. Jackson made the motion and Mr. Dunn seconded it. All were in favor and the motion was approved.

Brenda Johnson reviewed training provider programs being recommended for denial. (Handout #2—Recommend for Denial)
Mr. Redelman moved that these programs be denied approval. Mr. Jackson seconded the motion. All were in favor and the motion was approved.
Ms. Johnson next presented Training Provider Updates and an IN Training Program: Monthly Activity Report. (See Handouts #3 and 4)
Ms. Johnson requested that this committee give final approval to programs that DWD had conditionally approved.
Discussion: Who conducts the site visits? Ms. Johnson answered that Keith Chandler, of DWD, Office of Adult, Career & Technical Education, performs facility inspections. (Mr. Chandler has received federal training in compliance measures.) A facility inspection ensures that the physical location of a potential program actually exists and can be used as advertised by the provider.
Mr. Clark pointed out the three training provider designations—approved, conditionally approved, and denied.
Mr. Redelman moved to affirm the staff recommendations as presented by Ms. Johnson. Mr. Jackson seconded the motion. All were in favor and the motion was approved.

Mr. Redelman asked if the committee needed to vote again on programs that have been conditionally approved. This was determined to be unnecessary. Mr. Dunn expounded on this point, saying that in the future, most everything will be "conditionally approved," awaiting ERC's final decision to approve or deny. Some items may be presented to the committee with no conditional recommendation. Ms. Mackintosh raised the issue that the ERC may need to review program performance and policy requirements in the future.

Ms. Dowd, reminding all of the need to have a quorum to conduct business and the lack of programs to be reviewed at this time, suggested cancelling the October ERC meeting. All were in agreement with this proposal.

(Some additional comments on PLA: What will be the cost to WIA funds for portfolio/credits awarded? Concern was voiced about students paying for the credits awarded—why are post-secondary institutions charging for credits not actually earned or taught in their school?)

The meeting was adjourned at 9:57 a.m.
The next meeting will be November 10, 2011, at 10:00 a.m.

POLICY #1

TO: Adult Education Consortia Partners

FROM: Gina DelSanto, Ph.D.
Senior Deputy Commissioner, Policy, Education and Training

DATE: TBD

SUBJECT: DWD Policy 2011-XX
Adult Education Funding

Purpose
This provides an overview of funding for the adult education system.

Rescission
None

Content
The Department of Workforce Development (DWD), Division of Adult Education leverages several resources to ensure delivery of foundational skills development, career pathways, and academic and career counseling services to adults and out-of-school youth for the purposes of employment, reemployment, or enhanced employment. Adult education (AE) regional consortia delivering these services are supported by funds from the federal Workforce Investment Act (WIA), Title I and Title II, and state funds.

<u>Governor's Discretionary Funds—Workforce Investment Act (WIA) Title I</u>
At the request of the DWD, the State Workforce Innovation Council (SWIC) allocated money from the governor's discretionary funds to support career certification (CC) programs for clients who are co-enrolled in AE and WIA. These funds will be distributed to CC program providers in the form of vouchers. For more information on CC programs and vouchers, see the Adult Education Training Program Statement of Work (SOW).

<u>Adult Education Funds—WIA Title II and State Funds</u>
DWD allocates state and federal funds to AE regional consortia based on a funding formula that compares a region's productivity index (enrollees/UI claimants lacking a secondary diploma or GED) to a similarly calculated state productivity index. Regions, through their collective AE programs, must earn the allocation through achievement of student-learning performance reimbursements as described in Attachment A. The first 85 percent of a region's allocation shall be granted as guaranteed funds. To be eligible for the additional 15 percent, the region as a whole must "earn" the 85 percent in outcomes.

Program Year Budget Requirements
Each fiscal agent in a consortium must submit a line item budget detailing planned expenditures for its share of the entire regional allocation for both the guaranteed 85 percent and the 15 percent performance funding. All proposed instructional and non-instructional expenditures should be included. Non-instructional costs should be limited to 10 percent of the federal request per year. If more than 10 percent is needed to operate the program effectively, regions may request a waiver for up to 15 percent for non-instructional costs. Instructional and non-instructional costs are listed in Attachment B.

Budget Modification
A budget modification is required if the grantee desires to re-budget funds in the approved budget where the adjustment to a cost category is (+) or (-) 10 percent of the total budget amount. Requests for budget modifications must be submitted to DWD and approved before budget modifications are made.

Procedures for Expenditure Reimbursement
Individual programs will be reimbursed for actual expenditures by completing a reimbursement form and electronically submitting it to the DWD Finance Division. Programs may report expenditures for reimbursement at the end of each month but must report expenditures to DWD at least quarterly. Both instructional and non-instructional expenditures may be reimbursed.

Maintenance of Effort
The Maintenance of Effort (MOE) requirements in the Adult Education and Family Literacy Act (AEFLA), Title II of the Workforce Investment Act (WIA—P.L.105–220) require states to maintain their state and local financial commitment to adult education. In general, Indiana's non-federal funds, which comprise state, local, and Department of Correction (DOC) funds, may not be reduced from year to year.

Indiana's budgeted adult education state funds meet the state's MOE requirement. The total local MOE requirement is allocated to the regions based on each region's percentage of federal funds. As such, regions with a larger federal allocation have a larger MOE requirement.

Revocation and Recovery of Funds
DWD has the discretion to revoke a grant award for an AE region or provider as outlined in the Program Improvement Policy.

<u>Adult Education Program Tuition and Fees</u>
Tuition
An Indiana student who is eligible to be counted as enrolled for purposes of reimbursement in a state-approved adult education program shall <u>not</u> be charged tuition.

Fees
Fees charged for participation in an adult education program are generally not permissible. Participants may be charged fees for learning activities, services, and/or materials. Permissible fees include textbook rental fees, refundable deposits for books or materials used for review outside of the classroom, and childcare. The DWD encourages programs to establish a fee policy that sets fee requirements. Any fees must be necessary and reasonable and must not impose a barrier to the participation of disadvantaged persons the program was designed to serve.

Program Income Requirements
Programs choosing to assess fees must reinvest these funds in the adult education program <u>before</u> requesting additional grant money for the same activity in accordance with 34 CFR 80.21(f). Additionally, all income from fees must be spent during the same program year. DWD requires programs to report fees and how these funds were reinvested in adult education. Any fees charged may not be applied towards maintenance of effort requirements.

Effective Date
Immediately

Ending Date
Upon Recession

Ownership
Division of Adult Education
Indiana Department of Workforce Development
10 North Senate Avenue
Indianapolis, IN 46204

Action
Indiana's adult education system will follow the guidance contained in this policy.

Attachment A
Reimbursement Schedule

Adult Education Reimbursement Schedule for ABE/ASE/ESL

Effective: July 1, 2011 to June 30, 2012
Revision Date: 12.12.11

INDIANA ADULT EDUCATION

Transition to Postsecondary Reimbursement (Goal must be set for program to earn reimbursement)
Time Start: The first calendar day after official enrollment **or** last earned reimbursement.
Time Stop: The student's last calendar day of attendance before earning passing Compass scores (Reading 80+, Writing 70+ & Alg. 35+) or Accuplacer scores (Reading 89+, Writing 80+, & Alg. 53+).

Time	**<6 Weeks**	**6-8 Weeks**	**>8 Weeks**
Amount	$400	$300	$200

GED Attainment Reimbursement (Goal must be set for program to earn reimbursement)
Time Start: The first calendar day after official enrollment **or** last earned reimbursement.
Time Stop: The student's last calendar day of attendance before the student passes the exam.

Time	**<6 Weeks**	**6-8 Weeks**	**>8 Weeks**
Amount	$400	$300	$200

9-10.9+ (Low ASE) Reimbursement
Time Start: The first calendar day after official enrollment **or** last earned reimbursement.
Time Stop: The calendar day the student posttests above 10.9.

Time	**<6 Weeks**	**6-8 Weeks**	**>8 Weeks**
Amount	$400	$300	$200

6-8.9+ (High Int. ABE) Reimbursement
Time Start: The first calendar day after official enrollment **or** last earned reimbursement.
Time Stop: The calendar day the student posttests above 8.9.

Time	**<22 weeks**	**22-24 weeks**	**>24 weeks**
Amount	$585	$450	$315

E-5.9+ (Bundled Low ABE) Reimbursement
Time Start: The first calendar day after official enrollment **or** last earned reimbursement.
Time Stop: The calendar day the student posttests above 5.9.

Time	**<22 weeks**	**22-24 weeks**	**>24 weeks**
Amount	$585	$450	$315

ESL Reimbursement #2
Time Start: The first calendar day after official enrollment or last earned reimbursement.
Time Stop: The calendar day the student posttests above NRS ESL Level 4 in reading, writing, or both **OR** above NRS ESL Level 5 in Listening.

Calendar Weeks	**<22 weeks**	**22-24 weeks**	**>24 weeks**
Amount	$650	$500	$350

ESL Reimbursement #1
Time Start: The first calendar day after official enrollment.
Time Stop: The calendar day the student posttests above NRS ESL Level 3 in reading, writing, or both **OR** above NRS ESL Level 4 in Listening.

Calendar Weeks	**<22 weeks**	**22-24 weeks**	**>24 weeks**
Amount	$650	$500	$350

Enrollment Reimbursement

Attendance Weeks	1-2 weeks
Amount	$60

*If a student skips a level, the program will receive reimbursement for the lower level based on actual instructional weeks and the maximum reimbursement for the level(s) skipped.
Note: DWD discourages the practice of a student sitting for the GED Tests before that student has tested <u>ABOVE</u> the 10.9 level, i.e. into ASE High.

INSTRUCTIONAL COSTS
Instructional costs include salaries or other expenses directly related to the following:

- Adult basic education instruction
- Activities related to outreach, intake, assessment, counseling, and follow-up services for adult learners
- Curriculum Development
- Operation and maintenance related to the upkeep of equipment and facilities used by the program for instruction and related services
- Child care services

NON-INSTRUCTIONAL COSTS
Non-instructional costs should be limited to 10 percent of the federal request per year. If more than 10 percent is needed to operate the program effectively, regions may request a waiver for up to 15 percent for non-instructional costs. The following are non-instructional costs:

- Administrative and secretarial salaries and other administrative expenses
- Professional development activities
- Volunteer recruitment, training, and supervision
- Data-entry and record-keeping of program statistics and fiscal reports
- Audit fees
- Indirect costs
- Any other expenses that do not directly pay for instruction and student support services

NON-ALLOWABLE COSTS
The following are disallowed federal expenses:

- Food (except for child care snacks)
- Rent (except where applicant can document that all efforts to obtain rent-free facilities have been denied)
- In-family literacy programs, salaries of teachers other than adult educators; and
- GED examiner, testing, and GED test fees

POLICY #2

TO: Adult Education Consortia Partners

FROM: Gina DelSanto, Ph.D.
Senior Deputy Commissioner, Policy, Education and Training

DATE: TBD

SUBJECT: DWD Policy 2011-XX
Data Collection and Reporting

Purpose
This policy provides guidance on the collection and reporting of data for adult education programs.

Rescission
None

Content
The National Reporting System (NRS) requires the Department of Workforce Development (DWD), Division of Adult Education to report annually specified information on adult education to the Office of Vocational and Adult Education (OVAE). The NRS measures address the federal accountability requirements of the Adult Education and Family Literacy Act, Title II of the Workforce Investment Act (WIA—P.L.105–220).

Adult education (AE) providers who receive federal and/or state funds from the DWD must collect, report, and submit required NRS and state data electronically using the software AE InTERS.

Required Data and Reporting
The following information must be collected and entered for each student in AE InTERS:

- *Educational Gains*: Gains in reading, writing, and mathematics as determined by TABE pre- and post-testing;
- *Follow-up Measures*: Entered employment, retained employment, receipt of secondary school diploma or GED certificate, and placement in postsecondary education or training;
- *Demographics*: Race/ethnicity, gender, and age;
- *Status and Goals*: Labor force status, public assistance status, rural residency, disability status, and reasons enrolled; and
- *Student Participation*: Contact hours and program enrollment type.

Programs may elect to report the following optional NRS secondary outcome and student status measures in InTERS:

- *Employment:* Reduction in receipt of public assistance;
- *Work-based project learner achievement:* Met work-based project learner goal;
- *Community:* Achieved citizenship skills, voting behavior, and general involvement in community activities;
- *Family:* Involvement in children's education and involvement in children's literacy-related activities; and
- *Student Status*: Low-income status, displaced homemaker, single-parent status, dislocated worker, and learning disabled adult.

<u>Schedule for Data Entry</u>

DWD strongly recommends that data be entered into AE InTERS on a weekly basis. If the time lag for reporting data is too long, the likelihood of missing, and possibly inaccurate, data increases. Timely data entry will allow program staff and DWD to analyze data on a regular basis and use it for program planning and continuous program improvement.

While programs may determine their own schedule for data entry, the DWD requires that all monthly data for NRS and state measures be entered by the **<u>10th of the next consecutive month</u>** and data should be available for review at all times.

Exceptions:

Separations and employment are entered quarterly as follows:

- The NRS defines separations as students who leave the program or receive no services for ninety (90) consecutive calendar days and have no scheduled services. All separations for the quarter must be entered by the last day of the quarter (September 30, December 31, March 31 and June 30).
- Employment data for a student is measured *the first calendar quarter* after they leave the program. Retained employment is measured in the *third calendar quarter* after exit for students who had a goal of employment and who obtained a job in the first quarter. Employment measures are reported to OVAE on different time periods as explained in the *NRS Implementation Guidelines*.

Accurate Data Entry

Programs shall make every effort to ensure accurate data entry. If DWD determines that a program has a pattern of data entry discrepancies beyond occasional errors, the program will be monitored and may be required to submit data documentation. Thus, all programs should maintain data documentation or know where to direct DWD to obtain the proper documentation.

Effective Date

Immediately

Ending Date

Upon Rescission

Ownership

Division of Adult Education
Indiana Department of Workforce Development
10 North Senate Avenue
Indianapolis, IN 46204

Action

Indiana's adult education system will follow the guidance contained in this policy.

POLICY #3

TO: Adult Education Consortia Partners

FROM: Gina DelSanto, Ph.D.
Senior Deputy Commissioner, Policy, Education and Training

DATE: TBD

SUBJECT: DWD Policy 2011-XX
Distance Education

Purpose
This policy provides the general requirements for local delivery of distance education.

Rescission
None

Content
The Department of Workforce Development (DWD), Division of Adult Education supports distance learning as part of its commitment to increase participation in and access to adult education (AE) remedial services. Moreover, the integration of technologies in distance education supports student development of fundamental computer and technology skills that are needed to thrive in a complex and rapidly changing technological society.

Defining Distance Education
The United States Department of Education, Office of Vocational and Adult Education (OVAE) defines distance education for AE programs in the *National Reporting System (NRS) Implementation Guidelines, March 2010* (Implementation Guidelines) as follows:

> *Distance Education*--Formal learning activity where students and instructors are separated by geography, time or both for the majority of the instructional period. Distance learning materials are delivered through a variety of media including, but not limited to, print, audio recording, videotape, broadcasts, computer software, web-based programs and other online technology. Teachers support distance learners through communication via mail, telephone, e-mail or online technologies and software.

For the learning activity to be considered distance education, DWD requires that teachers and students be separated by geography, time, or both for at least 51 percent of the instructional time.

Measuring Instructional Hours for Learners in Distance Education
There are two types of contact hours for distance education: direct contact and proxy contact. Direct contact hours for distance education can be a combination of actual contact and contact through telephone, DVDs, teleconference or online communication, where student and program staff can interact and through which learner identity is verifiable. Students must have at least twelve (12) direct contact hours to be officially enrolled in an AE program. These direct contact hours may include both orientation and instructional hours.

Proxy contact hours are the hours students spend on distance learning activities. These hours can be calculated using one of three models:

1. *Clock-Time Model*, which assigns contact hours based on the elapsed time that a learner is connected to, or engaged in, an online or stand alone software program that tracks time.
2. *Teacher-Verification Model*, which assigns a fixed number of hours of credit for each assignment based on teacher determination of the extent to which a learner engaged in, or completed, the assignment.
3. *Learner-Mastery Model*, which assigns a fixed number of hours of credit based on the learner passing a test on the content of each lesson. Learners work with the curriculum and materials and when they feel they have mastered the material, take the test. A passing score earns the credit hours attached to the material.

AE providers must be able to provide documentation of proxy contact hours upon request. Some examples of acceptable documentation include software generated reports, screen shots, or teacher logs.

Approved Distance Education Curricula

Providers should use curricula procured and approved by DWD. The Senior Director of Indiana Adult Education may approve other software but has the discretion to limit time and/or scope of use.

Instructional Delivery Model

There are three instructional delivery models using distance learning curricula: distance education, hybrid, and face-to-face or on-site contact. DWD encourages the use of a hybrid instructional approach that combines distance learning with some degree of on-site interaction.

Pre- and post-testing must be conducted on-site. Students enrolled in distance education must be administered a proctored pre-test and posttest after the same amount of instructional time as other students. For additional assessment guidance, see Indiana's Assessment Policy for Adult Education Programs.

Other on-site contact may be necessary to deliver supplementary support for the student, to assign work, or to set timelines for the completion of assignments.

Materials and Technology Access

Students may access materials for distance education in traditional print forms (e.g., workbooks or take-home instructional packets), via television broadcasts or DVDs, or through online access. Providers should assess the types of materials that meet the needs of the student population they serve.

For those students with limited technology access, providers may consider issuing an instructional packet to be completed by the student in a prearranged time period. Completed packets are then returned to the teacher in-person or through an established delivery system. Proxy hours can be calculated using either the teacher-verification or the learner-mastery model.

AE InTERS Reporting Requirements

For distance education students, the sum of proxy and direct contact hours must be entered in AE InTERS as total attendance hours. Selecting the “Distance” option designates the hours as distance education. Students will be reported as distance learners at the end of the program year if they have participated in distance education for at least 51 percent of the instructional time.

Effective Date

Immediately

Ending Date

Upon Rescission

Ownership

Division of Adult Education
Indiana Department of Workforce Development
10 North Senate Avenue
Indianapolis, IN 46204

Action

Indiana's adult education system will follow the guidance contained in this policy.

POLICY #4

TO: Adult Education Consortia Partners

FROM: Gina DelSanto, Ph.D.
Senior Deputy Commissioner, Policy, Education and Training

DATE: TBD

SUBJECT: DWD Policy 2011-XX
GED Testing

Purpose
This policy provides guidelines for General Educational Development (GED®) testing in Indiana.

Rescission
None

Content
The Department of Workforce Development (DWD), Division of Adult Education will grant the Indiana GED Certificate of Achievement (GED Certificate) to those individuals who earn an official passing score on the GED Tests, provided jurisdictional policy requirements referenced in this document and GED Testing Service (GEDTS) policy are met. GEDTS requirements can be found online in the GEDTS Policies and Procedures Manual:
http://www.cde.ca.gov/ta/tg/gd/documents/gedplcyprcdr08.pdf

GED Candidate Eligibility
The GED Tests may be administered only to individuals who do not hold a high school diploma and who meet the following minimum guidelines:

- Be a resident of the state of Indiana for a minimum of thirty (30) days immediately preceding the day of testing; and
- Be at least eighteen (18) years of age; or
- At least sixteen (16) years of age, if a superintendent (as defined in IC 20-18-2-21) recommends that the individual participate in the testing program.

GED Chief Examiners and GED Examiners are responsible for verifying that each GED candidate tested is eligible to take the GED Tests and that each candidate can prove identity. Valid driver's licenses, valid passports, military IDs, or other forms of government-issued (national or foreign) identification that show name, address, date of birth, signature, and photograph are all acceptable forms of identification. Eligibility documentation must be kept on file at the testing center.

<u>Minimum Passing Score</u>
To earn a passing score on the GED Tests, a candidate must earn a total score of two thousand, two-hundred fifty (2,250) points or higher on all five tests with no individual test score below four hundred ten (410).

<u>Reporting of Scores</u>
DWD shall enter into contract with a credentialing partner and a certified GEDTS scoring partner. The Official Transcript of GED Test Results will be issued to GED candidates by the selected credentialing partner on behalf of DWD, given that all scoring and reporting requirements mandated by GEDTS are met. Scores achieved on the GED Test are official only when scored and reported by the credentialing and scoring partner(s) selected by DWD.

<u>Time Limit</u>
An applicant must complete all five (5) tests in the GED test battery within sixty (60) days. On the sixty-first day, if the full GED test battery remains incomplete, test scores for the incomplete test battery will be invalidated. The applicant will be required to retake the invalidated tests and once again will have sixty (60) days to complete the GED test battery.

<u>Retesting</u>
Candidates may retest on an alternate form of the GED test/s but may not take the same form of the test/s in a single calendar year. The full battery of five GED tests does not have to be completed prior to retesting on any single test. A GED candidate who has already earned a GED certificate may only retest if a higher score is needed to meet an admission requirement for postsecondary education or training, to meet employment requirements, or to enlist in the armed forces.

<u>Testing Fees</u>
Beginning in 2012, the GED Test Battery will be offered in two formats: paper-based testing (PBT) and computer-based testing (CBT). Fees for each of the formats are determined as follows:

- PBT: Testing Centers may determine the fee based on the cost of the tests and processing time required. It may not be more than seventy dollars ($70).
- CBT: GEDTS has set the standard fee of one hundred and twenty dollars ($120) for the CBT test battery and twenty four dollars ($24) for each CBT content area test. Testing Centers may reduce these costs by issuing vouchers to test takers.

Effective Date
Immediately

Ending Date
Upon Rescission

Ownership
Division of Adult Education
Indiana Department of Workforce Development
10 North Senate Avenue
Indianapolis, IN 46204

Action
Indiana's adult education system will follow the guidance contained in this policy.

POLICY #5

TO: Adult Education Consortia Partners

FROM: Gina DelSanto, Ph.D.
Senior Deputy Commissioner, Policy, Education and Training

DATE: TBD

SUBJECT: DWD Policy 2011-XX
Indiana's Assessment Policy for Adult Education

Purpose
Local adult education (AE) providers shall follow this standard assessment procedure to measure participant educational gains in AE programs.

Rescission
None

Content
Adult education programs must measure and report student *educational gains* as part of the federal National Reporting System (NRS), the accountability system for the Adult Education and Family Literacy Act, Title II of the Workforce Investment Act (WIA).

An *educational gain* measures the primary purpose of the federally funded, state-administered adult basic education program: to improve the basic literacy skills of participants. The NRS approach to measuring educational gain is to define a set of educational functioning levels at which students are initially placed based on their abilities to perform literacy-related tasks in specific content areas. After a set number of attendance hours in adult education, students are again assessed to determine their skill levels. If their skill levels have improved sufficiently to be placed one or more levels higher, the student has achieved an educational gain.

This policy describes the standard assessment procedure for measuring educational gains, test administrator training requirements, and acceptable testing accommodations.

Standard Assessment Procedure for Measuring Educational Gains

1. *Eligible adult education students should be pre-tested by official enrollment, defined by NRS as 12 hours of attendance, using DWD-approved assessments. Students who have not attended adult education for more than 90 consecutive calendar days must be administered a new pre-test.*

Tests for Adult Basic Education (TABE 9 & 10)
DWD requires that all adult basic education (ABE) programs use CTB/McGraw-Hill's TABE 9 & 10 to measure ABE student skills in math, reading, and language for NRS reporting. ABE students must be assessed **in all three of these areas**.[1]

The assessment includes a screening instrument (Locator) and a full length assessment available in five levels (L, E, M, D, and A) with two alternate forms for each level (9 & 10). Providers must first administer the Locator, which determines the TABE level to administer to the student. Table 1 displays the TABE test levels, corresponding content grade level ranges, and the grade level ranges for which scores are valid.

The content grade level ranges are valid **plus or minus two grade levels**. For example, a student taking the Level M test would receive valid results if his or her score corresponded to a grade level between 2.0 and 7.9. Scores falling outside of the valid ranges are not reliable for determining a student's instructional plan. In this case, re-testing with a more appropriate level is **required**.

Table 1-TABE 9 & 10 Test Levels

Test Level	**Content Grade Level Range**	**Grade Level Range for Valid Scores**
Level L (Literacy)	0 – 1.9	0-3.9
Level E (Easy)	2.0 – 3.9	0-5.9
Level M (Medium)	4.0 – 5.9	2.0-7.9
Level D (Difficult)	6.0 – 8.9	4.0-10.9
Level A (Advanced)	9.0 – 12.9	7.0-12.9

TABE Complete Language Assessment System–English (TABE CLAS-E)
CTB/McGraw-Hill's TABE CLAS-E measures the language proficiency of adult English as a Second Language (ESL) students in the areas of reading, listening, writing, and speaking. ESL students must be assessed in at least one of the following subjects: reading, writing, or listening.

[1] NRS allows for an ABE, ASE, or ESL student to only test in one subject and/or focus on one subject for instruction. However, these student selected options should only be used rarely and the rationale for doing so must be documented.

TABE CLAS-E includes a screening instrument (Locator) and a full length assessment available in four levels (1-4) with two alternate forms for each level (A & B). Providers shall first administer the Locator, which determines the TABE CLAS-E level to administer to the student. If the Locator indicates the student should be administered the Advanced ESL assessment, the instructor should transition the student to ABE. See Table 2 for CLAS-E levels and associated ESL proficiency.

Table 2-TABE CLAS-E Assessment Levels

Test Level	ESL Proficiency
1	Beginning ESL 1
2	Beginning ESL 2
3	Intermediate ESL
4	Advanced ESL

2. *Enter the student's raw subject scores in AE InTERS. AE InTERS will then convert the scores to scaled scores and place the student in a NRS-defined EFL.*

   Providers shall enter the student's raw assessment scores in AE InTERS. AE InTERS will then convert these raw scores to scale scores and place the student in an EFL based on the student's lowest subject score. All subsequent educational gains are measured from this EFL and in the corresponding subject area in which the student scored the lowest.[2] For example, consider an ABE student who tests at the beginning level in reading and the low intermediate level in numeracy. Since the student received the lowest score in reading, AE InTERS would place the student in the EFL corresponding to the reading score and would record future educational gains the student makes in reading from this placement EFL.

   The approximate alignment between TABE and TABE CLAS-E scale scores and NRS EFLs is shown in Tables 3 and 4 below. This alignment is not identical across all TABE and TABE CLAS-E tests levels (TABE L-A and TABE CLAS-E 1-4) and all versions of the tests (TABE 9 & 10 or TABE CLAS-E A & B).

Table 3-Approximate TABE 9 & 10 Scale Score Conversions to NRS Levels

NRS ABE/ASE Level	Grade Level Equivalent	Reading	Total Math	Language
1. Beginning ABE Literacy	0-1.9	<368	<314	<390
2. Beginning ABE	2.0-3.9	368-460	314-441	390-490
3. Low Intermediate ABE	4.0 – 5.9	461-517	442-505	491-523
4. High Intermediate ABE	6.0-8.9	518-566	506-565	524-559
5. Low ASE	9.0-10.9	567-595	566-594	560-585
6. High ASE	11-12.9	>595	>594	>585

[2] NRS allows for an ABE, ASE, or ESL student to only test in one subject and/or focus on one subject for instruction. However, these student selected options should only be used rarely and the rationale for doing so must be documented.

Table 4-Approximate TABE CLAS-E Reading Scale Score Conversions to NRS Levels

NRS ESL Level	Reading	Writing	Total Reading &Writing	Listening
1. Beginning ESL Literacy	250-392	200-396	225-394	230-389
2. Low Beginning ESL	393-436	397-445	395-441	390-437
3. High Beginning ESL	437-476	446-488	442-482	438-468
4. Low Intermediate ESL	477-508	489-520	483-514	469-514
5. High Intermediate ESL	509-557	521-555	515-556	515-549
6. Advanced ESL	558-588	556-612	557-600	550-607

3. *Posttest the student to determine educational gain after required number of attendance hours.*

CTB/McGraw-Hill recommends a set number of attendance hours in adult education between the administration of the TABE 9 & 10 and TABE CLAS-E pre- and post-tests. These hours, summarized in Table 5, vary based on NRS level and the form of the administered test (same or alternate).

Table 5- Recommended Attendance Hours between Pre- and Post-test

Test	NRS Levels	Same or Alternate Form	Recommended Attendance Hours
TABE 9 & 10	ABE EFLs (Levels 1-4)	Alternate	50 - 60 (Minimum 40 hours)
TABE 9 & 10	ASE EFL (Level 5/6)	Alternate	30 - 59
GED	ASE EFL (Level 6)	N/A	N/A
TABE 9 & 10	ABE & ASE EFLs (Levels 1-5)	Same	120
TABE CLAS-E	All ESL Levels	Alternate	60 - 95 (Minimum of 50 hours)
TABE CLAS-E	All ESL Levels	Same	100 - 140

Hours toward a post-test begin counting the next attendance day after the student completes the pre-test and end the day the student completes the post-test. These include all adult education attendance hours, which may comprise orientation, instruction, and the time a student spends on the post-test. Post-tests may be administered sooner than the recommended hours of attendance only if a student receives intense instruction or plans to exit the program.

The instructor may consider administering the next level of the TABE or TABE CLAS-E test if the student shows the potential to score higher than the valid score range if given the same level test that was given as a pre-test. For example, if the student was administered the TABE 9M pre-test, the instructor could administer the student the TABE 9D test if the student shows significant skill progress. As discussed above, test scores that fall outside of the valid content grade ranges for TABE 9 & 10 in Table 1 will not be counted for NRS.

The only exception to administering a TABE or TABE CLAS-E post-test is if a student is at the ASE High Level (11.0-12.9). The measure of a gain at the ASE High Level be either attaining a grade level equivalent of 12.9 on the TABE or successfully passing the General Educational Development (GED) Tests**.**

The student's post-test scores shall be entered into AE InTERS. If a student advances one or more EFLs based on the assessment, AE InTERS records educational gain(s) for the student.

Training for Administering Assessments
Local providers are responsible for: training staff and/or volunteers on assessment administration; ongoing training for new staff; and training to refresh skills of previously trained staff. Staff members who attend these trainings should record the training hours in AE InTERS per the Professional Development Policy (DWD Policy 2011-XX).

Assessment Accommodations
Providers may provide testing accommodations for learners with disabilities. Follow CTB/McGraw-Hill accommodation guidelines for TABE 9 & 10 and TABE CLAS-E. For GED Testing accommodations, contact GED Testing Service.

Effective Date
Immediately

Ending Date
Upon Rescission

Ownership
Division of Adult Education
Indiana Department of Workforce Development
10 North Senate Avenue
Indianapolis, IN 46204

Action
Indiana's adult education system will follow the guidance contained in this policy.

POLICY #6

TO: Adult Education Consortia Partners

FROM: Gina DelSanto, Ph.D.
Senior Deputy Commissioner, Policy, Education and Training

DATE: TBD

SUBJECT: DWD Policy 2011-XX
Professional Qualifications and Development

Purpose
This policy establishes the minimum qualifications and ongoing professional development expectations for the Indiana adult education (AE) staff.

Rescission
None

Content
The Department of Workforce Development (DWD), Division of Adult Education is committed to raising and sustaining the level of expertise of its adult educators in order to effectively serve Indiana's adult learner population. Establishing minimum qualifications and ongoing learning opportunities for AE staff ensures quality teaching and programming.

<u>Staff Qualifications</u>
AE program directors and instructors must have a bachelor's degree. All teaching aides must have a high school diploma or General Educational Development (GED) certificate. Providers may set more stringent qualifications, such as requiring instructors to hold a valid teacher certificate or a bachelor's degree in a relevant discipline.

Eligible adult education providers are not subject to IC 20-28-6 and, therefore, may elect not to employ an adult education teacher using the regular or temporary teacher's contract or supplemental service contract.

<u>Requirements for Professional Development</u>
The Adult Education and Family Literacy Act, Title II of the Workforce Investment Act (WIA—P.L.105–220) allocates funding for professional development activities that enhance the quality of adult education programs. Per this provision, all regions were required to submit professional development plans.

DWD has established four categories of professional development, sample training topics within this category, and required trainings. All AE program directors and instructors must complete required trainings listed in the table below. Other trainings may be required per the regional plan and/or at the discretion of DWD.

Professional Development Categories	Sample Training Topics	Required Training Topics
Orientation to adult education	• Student orientation and intake activities • AE InTERS webinars/trainings • Innovative andragogical teaching strategies • Career pathways/career development	• Program orientation for new teachers • AE InTERS
Curriculum and Instruction	• Lesson planning • Teaching mathematics • GED+ • Distance learning technology • Teaching adults with disabilities	• Online Remediation Tool
Assessment and evaluation	• Webinars or Trainings on TABE and TABE CLAS-E	• TABE • TABE CLAS-E
English as a Second Language/Civics	• Language acquisition theory for the adult learner • English conversation and speaking activities	

Program directors are responsible for informing teachers and staff of required and optional professional development opportunities in a timely manner and should support participation by allowing release time and outlining reimbursable expenses.

<u>Tracking and Reporting</u>
Providers must record all professional development activities and staff professional development hours in AE InTERS. DWD will monitor professional development in AE InTERS. If requested, providers should be able to provide DWD with documentation of training such as attendance sheets and/or attendance lists for webinars. If DWD determines a program is not meeting the requirements of this policy, DWD may identify the program for improvement per the Program Monitoring and Improvement Policy (DWD Policy 2011-XX).

DWD recommends programs re-assess staff professional development needs on an annual basis and maintain an annual professional development plan for each staff member.

Effective Date
Immediately

Ending Date
Upon Rescission

Ownership
Division of Adult Education
Indiana Department of Workforce Development
10 North Senate Avenue
Indianapolis, IN 46204

Action
Indiana's adult education system will follow the guidance contained in this policy.

POLICY #7

TO: Adult Education Consortia Partners

FROM: Gina DelSanto, Ph.D.
Senior Deputy Commissioner, Policy, Education and Training

DATE: TBD

SUBJECT: DWD Policy 2011-XX
Program Monitoring and Improvement Policy

Purpose
This policy describes the process for monitoring and evaluating adult education (AE) programs.

Rescission
None

Content
The Department of Workforce Development (DWD), Division of Adult Education will monitor AE programs based on the regional grant application submitted to and approved by the DWD. If DWD determines a program is not meeting conditions in the grant, the DWD will identify the program for improvement.

<u>Monitoring</u>
DWD will monitor AE programs by analyzing real time program data in AE InTERS. As required by federal law, DWD staff will also perform an on-site review of at least 20 percent of local programs annually. Programs will be notified of an on-site review and may access the monitoring form on the DWD adult education website.

<u>Programs Identified for Improvement</u>
DWD has the discretion to determine if a program is not meeting conditions of the regional grant and may identify the program for improvement. If a program is identified for improvement, the DWD will notify the fiscal agent overseeing the program. Within two weeks of notification, the program must submit a Corrective Action Plan that addresses programming deficiencies.

After receipt, DWD staff will review the Plan and provide feedback to the program within 30 business days. The program must then implement the DWD-approved Plan and schedule an on-site monitoring visit. Failure to implement elements of the Plan or achieve negotiated performance targets during a second consecutive year will result in DWD taking further action. These actions may include fiscal agent change or removal of AE provider eligibility for federal and state funding.

Effective Date
Immediately

Ending Date
Upon Rescission

Ownership
Division of Adult Education
Indiana Department of Workforce Development
10 North Senate Avenue
Indianapolis, IN 46204

Action
Indiana's adult education system will follow the guidance contained in this policy.

POLICY #8

TO: Adult Education Consortia Partners

FROM: Gina DelSanto, Ph.D.
Senior Deputy Commissioner, Policy, Education and Training

DATE: TBD

SUBJECT: DWD Policy 2011-XX
Adult Education Program Standards

Purpose
This policy establishes program standards for adult education (AE) in Indiana.

Rescission
None

Content
As authorized by IC 22-4.1-20, the Department of Workforce Development (DWD), Division of Adult Education has established standards to ensure delivery of foundational skills development, career pathways, and academic and career counseling services to adults and out-of-school youth for the purposes of employment, reemployment, or enhanced employment.

Student Eligibility for Services
Since General Educational Development (GED$_{®}$) attainment is one of the core goals of the AE program, individuals must meet the following GED eligibility requirements to receive AE services:

- Be at least eighteen (18) years of age; or
- Between sixteen (16) and eighteen (18) years of age, if a superintendent (as defined in IC 20-18-2-21) recommends that the student participate in an AE program and signs the student's exit form.

Additionally, the individual must need skill development in English, Mathematics and/or Reading as determined by an initial assessment.

Student Enrollment Process

Students become officially enrolled in adult education after 12 attendance hours, which may include both instruction and orientation hours. During these first twelve attendance hours, providers should make every effort to ensure the steps below are completed for each student.

1. **Enter student demographic information AE InTERS**
   Student demographic information should be entered in AE InTERS within the first few hours of program attendance.

2. **Administer a pre-test to determine a student's initial skill level.**
   Eligible adult education students should be pre-tested by official enrollment using DWD-approved assessments. Refer to Indiana's Assessment Policy for Adult Education Programs for additional guidance.

3. **Identify and Set Goals for Instruction.**
   Based on NRS guidance, all students **must be assigned at least the default goal of improving literacy skills**. That is, all students are assumed to be in the program to improve their literacy skills, and thus have the default goal of either improving literacy skills or improving English language skills. Students may also set one of four follow-up goals including obtaining employment, retaining employment, achieving a GED or high school credential, and entering postsecondary education.

   Students who achieve these four follow-up outcomes may only be reported to NRS if the student has set the goal. This may require teachers to update goals more frequently. DWD expects all providers to set the minimum goal of GED attainment for all students who have the skill level ability to pass the GED Tests within one year.

4. **Explain program specific policies.**
   Explain program specific policies, such as an attendance policy or class participation requirements, either prior to instruction or during a designated orientation class.

Persistence

There are many factors that promote student persistence in adult education including attendance requirements and intensity and duration of educational activities.

Attendance

AE providers must have an attendance policy approved by DWD that promotes student achievement of measurable outcomes and acknowledges frequency and recency as best educational practices. It is strongly encouraged that the policy includes the following elements:

- an expectation that students will attend all class hours;
- processes by which staff may review attendance on a regular basis to determine if students require additional support services;
- definitions for and limits on excused and unexcused absences; and
- provisions for program dismissal.

Intensity and Duration
Per WIA Section 231, programs must be of sufficient intensity and duration for students to achieve substantial learning gains. Programs should meet year-round, where possible, to maximize student attendance.

Official Exit and/or Separation
Students may choose to exit if s/he has the instructional goals set during enrollment. If a student chooses to exit, the provider must record the date and reason for exit. Separation, or a soft exit, occurs when the student has not participated in the AE program for 90 consecutive calendar days or if the student has notified the program of such separation. Providers may re-enroll separated students at any time. However, the student will be required to complete the full intake process upon re-enrollment, including pretesting.

Effective Date
Immediately

Ending Date
Upon Rescission

Ownership
Division of Adult Education
Indiana Department of Workforce Development
10 North Senate Avenue
Indianapolis, IN 46204

Action
Indiana's adult education system will follow the guidance contained in this policy.

TO: Indiana's Workforce Investment System

FROM: Gina DelSanto, Ph.D.
Senior Deputy Commissioner, Policy, Education and Training

DATE: **January 26, 2011 D R A F T**

SUBJECT: DWD Policy 2010-12 Change 1
WorkOne Customer Flow

Purpose

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

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

Rescissions

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

Content

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

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

An individual on either customer track is eligible to receive both Workforce Investment Act Core and some Workforce Investment Act Intensive services. However, many individuals may require only Core services. Individuals who qualify for Intensive services and are on the reemployment track will speak with a case manager to develop an Academic and Career Plan (ACP). Individuals who qualify for Intensive services and are on the education track will work with both a case manager and an Academic and Career Counselor (ACC) to develop an Academic and Career Plan and enter appropriate training or education.

Expiration Date: Until rescinded

Ownership

Marie Mackintosh
Director of Educational and Training Programs
Indiana Department of Workforce Development
10 North Senate Avenue
Indianapolis, IN 46204
MMackintosh@dwd.IN.gov

Action

Workforce Investment Boards and Regional Workforce Boards are expected to attain full compliance with this policy no later than July 1, 2011. Boards that attain compliance prior to this date should notify the Indiana Department of Workforce Development when they have reached full compliance and schedule a time to be monitored.

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

- Attachment A – Customer Flow
  - Section 1 – Integrated Customer Pool
  - Section 2 – Unemployment Insurance
  - Section 3 – Customer Flow
- Attachment B – Core Services
  - Section 1 – Initial Intake
  - Section 2 – Orientation and Informational Packets
  - Section 3 – Informational Workshops and Other Core Services
- Attachment C – Intensive Services
  - Section 1 – Case Management
  - Section 2 – Academic and Career Plans
  - Section 3 – Assessments
  - Section 4 – Adult Education
  - Section 5 – Other Intensive Services, Check-ins during Participation and Case Closures
- Attachment D – Academic and Career Counselors
  - Section 1 – Academic and Career Counselors
  - Section 2 – Roles and Responsibilities of Case Managers and Academic and Career Counselors
- Attachment E – Occupational Skills Training
  - Section 1 – Individual Training Accounts
  - Section 2 – On-the-Job Training
- Attachment F – Interim Implementation Guidance

Attachment A
Customer Flow

Section 1
Integrated Customer Pool

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

The Department of Workforce Development expects that:

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

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

Attachment A
Customer Flow

Section 2
Unemployment Insurance

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

Attachment A
Customer Flow

Section 3
Customer Flow

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

Additionally, customers who self-identify or are listed in the case management database as certified Trade Adjustment Assistance (TAA) participants should speak to a case manager. Any Reemployment and Eligibility Assessment (REA) or Worker Profiling and Reemployment Services (WPRS) participant should speak to the REA coordinator and could then be directed to a case manager at the discretion of the coordinator.

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

Education Level

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

Education Level (continued)

- If the customer has a HSD/GED or more, let him/her know what Core services are immediately available. At a minimum,
    - Having a HSD/GED or more *does not mean* that a customer should not receive Intensive services.
    - I*t does mean* that a customer should be encouraged to utilize Core services first to see if those services are sufficient for finding employment.
    - The customer must be *offered* an informational packet on WorkOne services but should not be required to take it.

Length of unemployment

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

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

Attachment B
Core Services

Section 1
Initial Intake

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

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

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

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

Attachment B
Core Services

Section 2
Orientation and Informational Packets

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

Orientation

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

Informational Packet

- All WorkOne Centers and Express offices should provide an informational packet about WorkOne services that includes information on workshops, services, and other programs at WorkOne offices.
  - Packets should delineate services/workshops offered at that location and at other locations.
  - All customers, regardless of education level, should be *offered* an information packet, but *should not* be required to take one.
  - Customers should be able to take an informational packet regardless of whether they take advantage of any other services.
  - DWD will provide minimum requirements for what WorkOne offices must include in their information packets.

Attachment B
Core Services

Section 3
Informational Workshops and Other Core Services

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

Additional Guidance on Workshops

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

Other Core Services

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

Other Core Services: (continued)

- WorkKeys **-** For customers who are applying to a WorkKeys employer and need to take an assessment for job matching purposes, it can be considered a *Core informational service.* This is the *exception*, not the norm.
    - Customers should take the assessment in the combination identified for a particular occupational profile at a WorkKeys participating employer.
    - WorkKeys should be administered as indicated in Attachment C, Section 3.
    - Customers whose scores indicate that additional education or remediation might be beneficial should be encouraged to speak to a case manager.

Attachment C
Intensive Services

Section 1
Case Management

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

The following section provides more specific guidelines on the role of case managers and scheduling appointments.

Case Managers

- A case manager should conduct an informational interview to assess the customer's general needs and intentions.
    - Since an informational interview is considered a staff assisted service, the customer should be "fully enrolled" in the case management database by the case manager.
    - An informational interview does not mean that a customer must receive intensive services.
- All customers who are determined to need Intensive-level services must have an initial Academic and Career Plan. For some customers, this will mean filling out the majority of the plan; for others, it will mean filling out only certain sections.
- Depending on the customer's intentions and needs (reemployment or occupational training), case managers should recommend appropriate next steps including:
    - Reemployment Track – useful in-depth workshops, job clubs, supportive service referrals, use and interpretation of Indiana Career Explorer (ICE) or WorkKeys. For more information on the proper use of assessments, see Attachment C, Section 3.
    - Education Track - take TABE locator and full battery; ICE; referral to Academic and Career Counselor.

Case Managers (continued)

- Case managers are expected to:
  - Develop on-going relationships with their customers and act as a resource.
  - Be in communication with the customer's Academic and Career Counselor.
  - Develop a relationship with Adult Education customers' instructors where appropriate and possible.
  - Help customers understand and act on their Academic and Career Plan, making adjustments as necessary.
- Case managers should perform regular check-ins as outlined in Attachment C, Section 5 of this policy.
- As much as possible, customers should be able to see the same case manager for check-ins and return visits/appointments until the customer finds employment or otherwise exits the system.
- Further description of a case manager's role and responsibilities can be found in Attachment D, Section 2.

Scheduling Appointments

- As much as possible, a customer should see a case manager immediately.
- Appointments to speak with a case manager can and should be made if necessary.
- If an appointment must be made, every effort should be made to make the appointment for as soon as possible.

Case Manager Best Practices

- Different levels of case managers and/or division of labor is appropriate. For example, there could be two kinds of case managers: Case Manager One facilitates job clubs, administers assessments, and works with customers who are strictly on the job-to-job track. Case Manager Two works with customers who are seeking further education or occupational training.
- Workforce Investment Boards and Regional Workforce Boards may find advantages in creating teams of case managers and Academic and Career Counselors. An Academic and Career Counselor could be teamed with 2-4 case managers with whom to work on a regular basis in order to develop good working relationships and best serve the customers.

Attachment C
Intensive Services

Section 2
Academic and Career Plans

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

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

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

Attachment C
Intensive Services

Section 3
Assessments

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

TABE as the Ability to Benefit Assessment

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

Exceptions to Using Tests of Adult Basic Education (TABE)

1. Customers who have:
    (1) taken the entrance or placement exam for the post-secondary institution that they intend to attend and passed with scores sufficient to enter non-developmental or remedial courses in their chosen area of study;
    (2) and provided such documentation do not have to take the TABE.

Customers who have not passed with sufficient scores should be referred to Adult Education after taking the appropriate sections of the TABE as described below.

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

2. Customers who have a high school diploma or GED may present their transcript and the Academic and Career Counselor may determine that the customer does not need to take the TABE based on their grades.
3. Customers who already have college credit and who intend to return to the same post-secondary institution may present their transcripts to the case manager and/or ACC who may determine that the customer does not need to take the TABE.
4. Customers who are entering WIA On-the-Job Training do not need to be TABE tested.
5. If the WorkOne is working with an employer for on-site incumbent worker training, employees are not required to take the TABE.

TABE Administration

- A TABE Locator must be administered prior to administering the TABE full length assessments.
- Based on the results of the Locator, the customer must be assessed with the appropriate level of TABE (Easy [E], Medium [M], Difficult [D], or Advanced [A]).
- The TABE Survey will no longer be sufficient.
- A TABE Locator and the appropriate full-length assessments in the areas of Math, Reading and Language must be administered following test-publisher guidelines.
- WorkOne staff who administer TABE must have successfully completed training on its use.
    - Training must be provided by those who have been certified by the test publisher or who have received advanced training on the assessment instrument.
- TABE should be provided online if at all possible, although a paper/pencil version is available.

Audience for TABE

- Any customer who is interested in pursuing Adult Education or occupational skills training must take the TABE Locator and the full-length assessments of the appropriate sections.
    - For customers who intend to enter Adult Education, all testing sites should use the appropriate level of the Math, Reading and Language sections based on the customer's Locator.
    - For customers who intend to enter occupational skills training, all testing sites should use the appropriate level of the Math, Reading and Language sections based on the customer's Locator.
- Customers should be assessed in Reading, Language and Math (both applied math and math computation).

Interpretation of TABE

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

Indiana Career Explorer (ICE)

Indiana Career Explorer is available for use by all Indiana residents 11 years old and older. It provides three assessments on career interests, skills, and values. Some customers may choose to use the tool as a way to explore their career interests and opportunities as part of self-service Core. Additionally, Core workshops on career exploration may explain and utilize ICE and even demonstrate how customers should understand the tool. Customers who require the results to be explained and interpreted for them extensively should be encouraged to speak to a case manager. All customers who wish to enter training must take all three components of ICE prior to speaking to an Academic and Career Counselor.

Administration of ICE

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

Audience for ICE

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

Interpretation of ICE

- Although it is not required by the test publisher that the staff be trained to interpret the assessments, training will be provided through the Department of Workforce Development and is strongly encouraged.
- It is not necessary for a staff member to interpret the assessments, but trained staff should provide guidance when necessary or requested.
- Any outcomes and guidance that result from ICE should be included in a customer's Academic Career Plan, when available.

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

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

Appropriate use of WorkKeys at the Core level includes:

- Assessment in the combination identified for a particular occupational profile at a WorkKeys participating employer.

Appropriate use of WorkKeys at the Intensive level includes:

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

Administration of WorkKeys

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

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

Interpretation of WorkKeys

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

Additional Assessments

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

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

Attachment C
Intensive Services

Section 4
Adult Education

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

Referrals

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

Academic and Career Counseling

- Academic and Career Counselors must meet with Adult Education students who have either reached or tested at or above an 8^{th} grade level within 30 days of reaching that level.
- Academic and Career Counselors should work closely with the customer's case manager to ensure that customers are making good progress toward their educational goals.

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

Attachment C
Intensive Services

Section 5
Other Intensive Services, Check-Ins during Participation and Case Closures

Other Intensive Services

- All WorkOne offices shall offer Intensive-level services including: formal assessments, job clubs, Adult Education referrals, and case management.
- In order to receive Intensive services, a customer must have an Academic and Career Plan.
- The Department of Workforce Development will define the minimum content for Intensive services that must be offered.

Check-ins during Participation

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

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

Case Closures

When a customer no longer requires services and case management because s/he has entered employment, become disabled or otherwise incapable of working, or the customer voluntary opts out of service, the customer's case manager should formally close the customer's case.

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

Attachment D
Academic and Career Counselors

Section 1
Academic and Career Counselors (ACCs)

Academic and Career Counselors shall work with all customers who intend to enter occupational skills training, including but not limited to customers enrolled in WIA, TAA, and Adult Education who are entering a career pathway or occupational training. The role of the Academic and Career Counselor will be to consult with the customers and build upon decisions made by the customer and the case manager, interpret assessments results, and to complete and approve the Academic and Career Plan for customers who are entering occupational skills training. They will also work to develop relationships with academic advisors at post-secondary institutions, Adult Education providers, and others, where appropriate.

Role of an Academic and Career Counselor

- Academic and Career Counselors should be trained in the art of career counseling.
- Academic and Career Counselors should meet with all customers who intend to enter occupational training, including those in TAA and those who intend to enter on-the-job training.
    - Customers who do not intend to enter occupational training but who indicate that speaking to an Academic and Career Counselor would be useful should not be denied the opportunity to do so.
- Academic and Career Counselors must meet with Adult Education students who have either reached or tested at or above an 8th grade level within 30 days of reaching that level.
- Academic and Career Counselors may meet with customers in either a group or individual setting at their discretion.

Steps Customers Must Take Prior to Meeting with an Academic and Career Counselor

- Prior to meeting with the counselors, customers must have taken the TABE Locator and the appropriate sections of TABE, as indicated in Section 3 of Attachment C of this policy. Exceptions can be made for the following cases:
    - Customers who have: (1) taken the entrance or placement exam for the post-secondary institution that they intend to attend and passed with scores sufficient to enter non-developmental or remedial courses in their chosen area of study; (2) and provided such documentation do not have to take the TABE. Customers who have not passed with sufficient scores should be referred to Adult Education after taking the appropriate sections of the TABE as described in Attachment C, Section 3.
    - Customers who have a high school diploma or GED may present their transcript and the Academic and Career Counselor may determine that the customer does not need to take the TABE.

Steps Customers Must Take Prior to Meeting with an Academic and Career Counselor (continued)

  - o Customers who already have college credit and who intend to return to the same post-secondary institution may present their transcripts to the Academic and Career Counselor who may determine that the customer does not need to take the TABE.

- Prior to meeting with an Academic and Career Counselor, customers must have taken all three components of Indiana Career Explorer.
  - o Academic and Career Counselors should be afforded the flexibility to help a customer determine appropriate occupational training even if the results from ICE do not align accordingly.
- Customers who intend to enter on-the-job training are not required to take the TABE or ICE.

Academic and Career Counselor Duties (further guidelines can be found in Attachment D, Section 2 of this policy)

- Review case managers' notes on clients.
- Review assessments that a customer has taken, interpret results when necessary, and utilize the results to help the customer make an appropriate determination for occupational training. Recommend other assessments as appropriate and necessary.
- Ask additional informational questions as necessary or appropriate.
- With the customer and the customer's case manager, determine action steps.
- Complete the customer's Academic and Career Plan.
- Assist the customer in making an appropriate occupational training decision, including the specific program and training institution.
- Academic and Career Counselors make the referral to the appropriate education track, either Adult Education or occupational skills training.
  - o A customer cannot enter occupational training without an appropriate referral from an ACC.
- Any referrals or decisions made by the Academic and Career Counselor should be included in the Academic and Career Plan.

Attachment D
Academic and Career Counselors

Section 2
Roles and Responsibilities of Case Managers and Academic and Career Counselors (ACCs)

Responsibilities		
	Case Manager	**Academic and Career Counselor**
Informational Interviews	Determine if a customer needs intensive services and eligibility determination.	
Enrollment	Fully enroll customers and get them started with intensive services.	
ACP	Start the ACP and fill in basic information. Ensure the customer follows the ACP and make adjustments as necessary. Finish ACP for job-to-job track.	Set goals and determine next steps with customer. Review and complete ACP with education-track customer.
Assessments	Determine assessment needs and recommend which assessments the customer should take. Proctor assessments if trained.	Interpret assessments and use results to inform ACP. Make referrals to appropriate occupational training or Adult Education.
Relationship with customer	Perform check-ins as required. Establish relationship with customer.	Have initial conversation with customer to determine next steps and complete ACP. Rarely will have on-going relationship with customer.
Outside relationships	Build relationship with customer's Adult Education instructor if appropriate. Act as a referral to outside resources when necessary.	Establish and maintain relationships with academic institutions and Adult Education administrators as appropriate.
Case Notes	Record case notes and make sure they are up-to-date.	Review case notes when it would be useful. Add case notes for ACP meetings only.
Knowledge & Abilities		
WorkOne Programs and Services	Extensive knowledge of WorkOne programs and services that client may access.	Cursory knowledge of WorkOne programs and services, particularly the workshop portfolio.
Funding streams and eligibility	Extensive knowledge of funding streams and eligibility requirements.	Cursory knowledge of funding streams and eligibility requirements.
Case Management System	Extensive knowledge of the case management system and be able to use it on a daily basis.	Some knowledge of the case management system, especially as it relates to the ACP. Ability to look up information as necessary.
Assessments	Understand assessment uses and be able to make appropriate recommendations to customers on what to take. Cursory knowledge of WorkKeys and ICE, allowing case managers to explain basic results.	Ability to interpret assessments fully and make recommendations for next steps based on results.
Supportive Services	Strong knowledge of the supportive services provided in the region. Refer customers to outside services when necessary. Assist customer in completing any paperwork when necessary.	Some knowledge of supportive services, but not responsible for making referrals.

Goal-setting	Some knowledge and ability to help customers set goals, especially job-to-job track. Ability to help customers follow goals.	Extensive knowledge and ability to help customers set goals.
Occupational Training	Some knowledge of available occupations and training providers. Good knowledge of FAFSA, Pell Grants. Ability to explain and assist with completion of FAFSA. and Pell Grant applications when necessary. Some knowledge of IN Training (DWD's Eligible Training Provider List).	Extensive knowledge of in-demand occupations in the region and training providers. Extensive knowledge of other potential funding sources such as scholarships, Pell Grants, etc. Extensive knowledge of post-secondary institutions, programs offered, and requirements for entry. Extensive knowledge of IN Training (DWD's Eligible Training Provider List).
ITAs	Strong knowledge of Workforce Investment Boards' and Regional Workforce Boards' Individual Training Account (ITA) policies and procedures to fill out appropriate paperwork and aid in check-ins with students. Strong knowledge of this policy's explanation of ITAs, and the Workforce Investment Act and its regulations.	Extensive knowledge of Workforce Investment Boards' and Regional Workforce Boards' Individual Training Account (ITA) policies and procedures to aid in recommendations for an ITA. Extensive knowledge of this policy's explanation of ITAs, and the Workforce Investment Act and its regulations.

Attachment E
Occupational Skills Training

Section 1
Individual Training Accounts

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

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

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

information from the Indiana Department of Workforce Development's Research and Analysis, but also "leading" information from their local economic development team and from WorkOne recruitment/business services representatives.

Attachment E
Occupational Skills Training

Section 2
On-the-Job Training

- On-the-job training (OJT) is considered occupational skills training.
- DWD Policy 2009-07, On-the-Job Training Guidelines, should be followed when arranging for a customer to participant in OJT.
- Customers who intend to enter OJT must first speak to an Academic and Career Counselor.
    - A customer who wishes to enter OJT is not required to take TABE or ICE prior to speaking to an Academic and Career Counselor.
- Case managers and/or Academic and Career Counselors have the discretion to ask a customer to take a formal assessment to ascertain if OJT would be beneficial.

Attachment F

Interim Implementation Guidance

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

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