A Technical Assistance Guide

Improving Center Processes to Increase Training Access and Enrollments

Helping New Yorkers Get the Skills They Need to Get the Jobs They Want

This guide was developed by the:

- New York State Department of Labor

- New York Association of Training and Employment Professionals

- New York Training Workgroup

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Introduction to the Technical Assistance Guide

The New York (and national economy) is confronting its most serious recession in three decades and thousands of New Yorkers have lost jobs and others are still struggling to enter the labor market, while jobs are harder and harder to find. All New Yorkers need good jobs at family-supporting wages and One-Stop Career Centers must provide the support and services needed to help customers succeed in tough times.

What works well in a lower-unemployment environment does not always work well in a higher-unemployment environment. When the unemployment rate goes up, the labor market becomes even more competitive and job seekers need the best skills possible to find the jobs they want. New York is committed to ensuring that as many New Yorkers as possible have access to training and skill development services through its workforce system.

The American Recovery and Reinvestment Act of 2009 provides additional resources, urges Workforce System transformation, and emphasizes training and skill development as a route to individual success and economic recovery. Stakeholders and investors expect more people will be served and more people will be trained with these resources. The Workforce System will be judged accordingly.

This Guide is to support these critical goals and meet these expectations by providing the rationale for this increased emphasis on training (Chapter 1); offering six broad strategies for Centers to increase customer access to and enrollments in training (Chapter 2); presenting a model customer flow that emphasizes skill development and training with promising practices from New York and across the country (Chapter 3); and outlining the technical requirements to implement a skills-focused customer flow (Chapters 4 and 5).

New York and its Local Workforce Investment Areas are national leaders in workforce system innovation. Through policy and implementation of functional alignment and integrated service delivery, more customers are served more intensely than in any other state in the nation. Over the past few years, Workforce Boards and Centers have made great strides and this Guide is meant to build on this success.

Workforce Investment Board Staff, One-Stop Career Center Leadership, and all One-Stop Career Center Staff are urged to read this Guide, meet to discuss its contents, and to plan for continuous improvement of the services offered to help all Center customers get good jobs at good wages.

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Chapter 1:

Why Centers Must Increase Training Access and Enrollments: Right Now!

There are five major strategic drivers for One-Stop Centers to significantly increase training access and enrollments:

1. The Reality of the Recession and the Route to Recovery

2. Too Few Jobs, Too Many Job Seekers:
   Increased Duration of Unemployment Insurance Claims

3. Customers Need Family-Supporting Wages, Not Just Jobs

4. Employers and Regional Economies Need Skilled Workers to Recover and Position for Future Success

5. Funders and Stakeholders Increasingly Expect (and Demand) More Investment in Training and Skill Development

1. The Reality of the Recession and Route to Recovery

This recession is different than other recent recessions:

- It is national in scope, limiting the opportunities for migration from areas of higher-unemployment to areas of lower-unemployment.

- It is across almost all industries with a broad impact on a broad range of occupations and workers of all skill levels.

- It is likely to result in a changed economic landscape after recovery, since some industries and their labor markets have been permanently altered.

These three realities mean that Workforce Boards and One-Stop Centers must:

- Help their customers develop the skills demanded by industries and employers in their regional labor markets.

- Offer a wide-range of skill development strategies to help a wide spectrum of customers, from those who have limited skills to those who need to continually add to their skills to be competitive in a tough labor market.

- Prepare customers for the post-recession recovery by focusing on skills that are needed for the jobs of today and the skills that will be the foundation for the new jobs and industries of tomorrow.

2. Too Few Jobs, Too Many Job Seekers: Increased Duration of Unemployment Insurance Claims

Currently, there are more job seekers than jobs. Unemployment Insurance duration is increasing, not due to lack of effort by claimants, but due to lack of employment opportunities. Currently, there are six unemployed people for every new job opening. Many are “actively seeking and available for work”, as required by law, but the continued hemorrhaging of jobs and the lack of new job growth means just increasing the intensity of their job search is not sufficient for reemployment. Even those who are willing to trade-down their wage expectations and willing to “take anything” are challenged in finding jobs, since the job seeker pool is so large and so competitive.

When the unemployment rate is higher, the opportunity cost for time expended in training and skill development is lower, since wages will likely not be lost. Some claimants at 52-weeks of benefits are still trying to find a job---how could that time have instead been used to increase their skill competitiveness? Even for those who “want a job now”, they may want to use their time wisely and conduct their job search concurrently with skills development and occupational training.

Many claimants with higher education and stronger work history are also exhausting their benefits. “Marketable skills” does not just mean what skills you have, but also means that they must be demanded in a changing economy and a competitive labor market. Who is “job ready” depends as much on the economy as the individual. Everyone can (and must) improve her or his skills over a lifetime to succeed. These claimants know the importance of education and skill development and they should be supported in continued skill enhancement, not just in the identification of transferable skills for resume development

3. Customers Need Family-Supporting Wages, Not Just Jobs

Having the skills demanded by the regional labor market is key to better jobs at higher wages. Those displaced from manufacturing, financial services, and the high tech industries have lost jobs at the upper-end of the wage spectrum and rightfully want to replace their wages. One-Stop Centers add value when they develop services to help these customers increase their skill arsenal and move beyond what may be fruitless job matching and just a couple of job search workshops.

Those having barriers to employment, receiving public assistance, and/or possessing fewer skills with lower educational attainment are particularly challenged by this recession. The industries typically offering “first- and second-chance” jobs (including hospitality and retail) have also been hit hard in this downturn. Barriers to employment have become even bigger, as these individuals must not only compete for fewer jobs, but also compete with those with higher skills who are “trading-down.” Skill development is the only real opportunity to help these customers to move to self-sufficiency.

4. Employers and Regional Economies Need Skilled Workers to Recover and Position for Future Success

Even in this “buyer’s market”, many employers continue to express disappointment with the quality of their applicant pools. Job seekers often cannot find jobs, not just because jobs are so rare, but also because there is a skill mismatch between the skills they have and what employers demand.

When One-Stop Centers focus on workforce improvement through skill enhancement, they help employers find the qualified workers they need to become (or remain) competitive and expand. Skills development helps our dual customers, both individuals and employers.

As the nation recovers, regions that have the most developed talent pipelines and the highest quality talent pool will be able to compete for (and retain) the best industries with the best jobs at the best wages. Implementing a comprehensive talent development strategy during this recession is one of the best strategies to position for future success.

5. Funders and Stakeholders Increasingly Expect and Demand More Investment in Training and Skill Development

The American Recovery and Reinvestment Act of 2009 is a guidepost to the workforce system policy future. It tells us where policy expectations are emerging, while awaiting the details of Workforce Investment Act reauthorization.

Not only does ARRA provide more resources, but it also continues to shift the system focus from an irrelevant "work first" philosophy to a focus on value-added reemployment services, pathways out of poverty, jobs with middle-class wages, and more One-Stop Center customers receiving training and skill development.

Congressional Committees considering WIA reauthorization continue to show interest and intent in expending more funds on training, linking adult education to workforce training, and finding new ways to streamline training access and entry, discarding the old rigid sequence of service (making "core" not a destination but a gateway to training).

The Obama Administration is urging that more Claimants attend training while receiving UI: "(We need to) change unemployment from 'wait and see' to a chance for our workers to train and seek more opportunity." Pell Grants have been expanded and Opportunity.gov encourages claimants to contact One-Stop Centers for access.

The focus on training is at full speed:

Special, national competitive funding is being offered under ARRA to develop career pathways and support skills in the Health and Green Industries.

ARRA permits local workforce areas to use WIA funds to contract for training, instead of using ITAs, to increase the availability of responsive training options, and the House Appropriations Committee has included this provision in its approved 2010 WIA formula funding appropriation as well.

Workforce Boards and One-Stop Centers will increasingly be expected to increase the quantity of customers receiving training and improve the quality of the training offered. Now is the time to prepare!

The New York State Department of Labor is supporting WIBs and Centers in increasing training access and enrollments by:

- Implementing functionally-aligned Centers where all staff (regardless of funding source) is empowered to help customers access training.
- Reducing regulatory requirements, wherever possible, to permit streamlined access and entry into training.
- Developing policies that require, support and strengthen training opportunities for customers.
- Expecting that all Center customers will receive an initial assessment with established criteria leading more customers to receiving Career Development Services, including training and skill development.
- Promoting and speeding approval of UI Claimants to be able to attend training while receiving UI through the 599 Program.
- Including training and skills development as one of the key success metrics in the local incentive and sanction policy.

Chapter 2:

Six Over-Arching Strategies for Centers to Increase Training Access and Enrollments

Increased enrollments in training and skill development will be achieved by:

-
- Increasing the supply and variety of training and skill development opportunities and methods,
- Ensuring that all staff value training and know how to promote this opportunity to customers continuously, and
- Developing streamlined customer flow processes to improve access

The six strategies are:

1. Increasing Training Offerings and Availability
2. Transforming Center Culture to Value Both Skills <u>and</u> Jobs for All
3. Setting Center Goals for Increased Training Enrollments
4. Promoting Training at Every Step, Continuously
5. Embedding Training Access into the Center Customer Flow
6. Streamlining Processes to Make Training More Accessible

In a recent interview, Jane Oates, the new USDOL Assistant Secretary for Employment and Training, discussed the Administration's policy thrusts:

- *The vision is "Good Jobs for All", signaling a shift to a focus on wages and not just jobs. Wages are positively impacted by training and skills.*
- *President Obama has "thrown down the gauntlet" for every person to get at least one year of postsecondary education.*
- *WIA "was never about work first and was never meant to be work first" and choosing only those most likely to succeed though "creaming" and selective enrollment is to be minimized.*

The six strategies presented respond to these themes.

Strategy 1:
Increasing Training Offerings and Availability

The quantity and quality of training and skill development opportunities offered and available is an important prelude to increasing the number of customers enrolling in training and skill development.

Without a sufficient supply of responsive, quality products, there will be lower customer interest and usage, even within a streamlined customer flow.

It is the role of the Workforce Board, working with the One-Stop Center, to ensure a robust menu of customer options.

When Local Workforce Boards and One-Stop Centers were surveyed, the quality and quantity of training offerings was the most frequently identified challenge to meeting the goal of increased training enrollments:

- "People don't get laid-off on a semester basis"
- "We're a rural area, people have to travel long distances for training"
- "Many of our customers don't meet the training program prerequisites and the remedial classes are full"
- "There are not many shorter-term training offerings and not everyone wants to go to school for two years"

Local Boards and Centers should consider increasing training options by:

- Updating the Demand Occupation List frequently and proactively recruiting new Eligible Training Providers through offering hands-on assistance in application preparation.
- Moving beyond classroom training options and including On-the-Job Training and Registered Apprenticeship as customer training options.
- Promoting and supporting online learning options.
- Building partnerships with Adult Education, BOCES, and Community Colleges to develop new offerings and approaches to training.
- Tapping the ARRA opportunity to contract for new training offerings.

Contracting for Training with WIA Recovery Funds: Developing Training Options Responding to the Needs of More Customers

> *The ARRA WIA Adult and Dislocated Worker funds provide an opportunity to contract for training and to move beyond just Individual Training Accounts: "Training may be provided through the award of contracts to institutions of higher education, as long as a customer's choice is not limited.*
>
> *Such training may include the provision of adult basic education or English language education services, as long as these services are provided in connection with a job for which the individual is preparing.*
>
> *These services may be provided through community colleges and other high quality public programs that offer postsecondary education and training within a community."*
>
> *Reference USDOL TEGL #14-08: "Guidance for Implementation of the Workforce Investment Act and Wagner-Peyser Funding in the ARRA of 2009"*

Three potential reasons for contracted training:

1. Insufficient supply of current, high-demand occupational training programs due to class size, instructor availability, and other such factors limiting availability

2. New, existing and emerging high-demand occupations for which no training programs currently exist

3. Current methods of occupational training delivery do not adequately respond to the needs of customers

WIA Recovery funds are to be transformative!

Workforce Boards should use these time-limited funds as startup seed capital to develop new, responsive training options that respond to today's demands and build tomorrow's training infrastructure.

Local Workforce Boards should give priority to procuring training:

- Permitting enrollment on a non-semester basis, with open-entry and continuous, immediate start dates

- Giving credit for prior learning that permits students to "start where they are," not where the course of study traditionally begins
- Adopting competency-based completion that validates skill attainment by demonstration and testing rather than course completion
- Unbundling the training to permit interim career pathway credentials
- Reducing training time by focusing only on the most important, needed elements of the training
- Providing basic skills and/or English-language instruction concurrently with occupational training, rather than as prerequisite requirements
- Supporting career pathways where people move between the labor market and further education and training over a lifetime
- Responding to diverse adult learning styles, moving beyond traditional pedagogy
- Combining classroom instruction with work experience and on-the-job learning to increase the odds of post-training employment
- Integrating distance learning with classroom learning to increase access for those in rural areas and for low-wage workers with variable work hours

Promising Practice:

Broome/Tioga: Purchased twelve, six-week in-demand training components offered during the summer

Strategy 2:

Transforming Center Culture to Value Both Skills <u>and</u> Jobs for All

Organizational culture is defined simply as "the way we *really* do things around here." Culture embeds the solutions that have been proven to solve the problems of the past that are learned, valued, transmitted, and reinforced. Culture reflects the expectations, values, beliefs, and norms of the organization that remain constant even when change is demanded. Culture is the lens through which all new expectations are viewed and force fitting the "new within the existing" is always the first cultural goal.

A number of organizational cultural shifts are necessary to achieve the goal of increasing the number of Center customers enrolling in training:

- Centers and staff are service providers and not "program operators". Programs and program funding are service-financing methods. The customer is the Center customer, not the funding source. While complying with program rules is a necessity, it is a means and not an end.
- While all Center customers need a job, all Center customers also need continuous skill development for increased labor market competitiveness. It is a false and unfair choice to ask customers, "Do you want a job <u>or</u> training?" when all people need both and should not have to choose between separate, exclusive service tracks. The mantra of the new culture is, "Work <u>and</u> Skills First...and Forever!"
- All Center staff plays a role in both job getting and skill development and need to value both equally. These are Center services and not program services. Centers must be organized functionally to ensure a service focus and not a program focus.
- The JTPA/WIA implementation legacy of "limited enrollments through highly selective participant processes with multiple-entry steps to test motivation" must be changed to an "inclusive, not exclusive" culture.
- Reducing Unemployment Insurance claims duration includes rapid reemployment services, but does not preclude an opportunity for training and skill development.

Organizational cultural change occurs over time. Leadership is required to change the metrics, incentives, and processes that reinforce the existing culture and establish a new culture through the implementation of a "jobs <u>and</u> skills" customer flow functionally staffed, with aligned policy support, consistent communication, and ongoing staff training. Development of clear goals and success metrics is the first step to cultural change, since metrics define what is most important and begin to create new organizational values.

Strategy 3:
Setting Center Goals for Increased Training Enrollments

Workforce Boards and One-Stop Leaders will want to set operational goals that clearly reflect the desired outcomes of increased training access and enrollments:

- Goals help to “manage the attention” of both leadership and staff on what is most important in a sea of competing priorities.

- Organizational operational goals provide clarity of purpose that instills meaning into staff’s day-to day work and increases the likelihood that all staff will share a common purpose in implementing their interrelated and integrated work.

- Without goals there is nothing to celebrate and continuous celebration of goal achievement and milestones is a “rite” that changes organizational cultural values.

Once set, the “increased training” operational goals will need to be:

- Monitored for attainment, with continuous improvement strategies developed to enhance progress and achievement

- Displayed frequently for all staff to assign importance to accomplishment and to know “how we are doing”

- Supported through policy and resource allotment

- Reinforced continuously and consistently in all communications and leadership actions.

There are three major goals Workforce Boards and One-Stop Leaders may wish to consider as they set “increased training” goals for Centers and staff:

- Meet the required **expenditure** rates

- Increase the **number** of Center customers in training services

- **Convert** more UI Claimants to training services

Each goal is important individually, but all three are needed for success.

Three “Increased Training” Success Metrics:

1. Meet the Required Expenditure Rates

- NY Technical Advisory 09-12 (Policy on the Recapture and Redistribution of Local Workforce Investment Area Formula and Recover Act Funds) requires LWIAs to expend at least 75% of both their formula and Recovery Act funds by June 30, 2010, or the unexpended excess will be recaptured and redistributed. Leadership and frontline Center staff will need to know real-time fund availability based on fact, not assumption.

- For those areas depending on standard semester-based courses as a means for training expenditures, October, November, and December 2009 is a critical period to increase enrollments, since this is the window of enrollment for the January 2010 semester.

2. Increase the Number of Center Customers in Training Services

- Increasing the amount and duration of ITAs may increase the likelihood of meeting expenditure expectations, but will not meet the expectation of enrolling more customers into training. WIA ARRA monthly reporting includes the number of new participants and the number in training.

- Two strategies that will increase the number in training are: focusing both on occupational training and skill development, and tapping training funding opportunities beyond WIA.

- Setting a goal of quantity (and not just expenditures) will increase the likelihood that frontline staff will be clear that there are two equally important goals: spend the money <u>and</u> increase the number of participants in training

3. Convert More UI Claimants to Training Services

- The goal is not to just to recruit more people for training, but to convert more existing Center customers, especially UI Claimants, into training participants. ARRA reporting includes the number of claimants receiving training.

- The New York State 599 program and the new USDOL emphasis on Pell Grants for UI Claimants support setting this as a goal.

- Limited training funds should be targeted to the unemployed and unskilled during a time of such high unemployment. Incumbent worker training is important if it is a lay-off prevention strategy.

Strategy 4:
Promoting Training at Every Step, Continuously

Since the goals include increasing the number of Center customers that enroll in training and increasing the conversion ratio of the number of Center customers moving to training services, in-Center promotional strategies must be developed for:

- Customer invitation letters
- Front-desk arrival and telephone inquiry communications
- "Point-of-purchase" advertising in the greeting and resource areas
- Group meetings (orientations, rapid response, and workshops)
- One-on-one staff meetings with customers

All staff at each and every contact, using every available method, should repetitively and continuously promote training.

Promotion Principles

- Staff cannot sell what they don't believe in. If staff starts with the assumption "they don't want or need training," and "everyone just wants a job," training promotion will be unlikely and probably ineffective. Staff must believe training and jobs are both important.

- Staff cannot sell what they don't know about. Customers receive a value-added service when they get the nitty-gritty detail about training offerings and not just when they are given the "Demand Occupations" and "Eligible Training Providers" lists---those are available on the Internet! Staff must be given the opportunity to learn as much about the specifics of the training available as possible.

- Staff must promote specific training offerings. Customers like to buy specifically and not generally. *"Don't you want some training?"* usually does not work well. It may only cause defensiveness, since customers may hear an accusation of inadequacy and it only reminds them of "school." Motivation is tied to career interest and quality jobs and wages. Promoting specific training offerings with quality labor market information that is customized to the customer's interests will always bring better results than just promoting "training" in general.

- Staff needs collaterals to support its verbal promotion, and customers need collaterals to understand their choices. For example, "Consumer Reports" on training offerings with previous customer comments, job placement rates, entry requirements, availability of internships, and other details is a valuable promotional tool. A flyer on "Choosing a Health Career" (and other high-demand occupations) that give regional labor market information and the training routes available is another example of an effective promotional collateral.

- Staff will want to promote the full bundle of benefits of training simultaneously. Supportive services availability and the potential for needs-related payments should be presented at the same time that "scholarships" are promoted.

- Staff will need to continuously offer training services, since success is tied to "getting the right product, to the right person, *at the right time*" The interest of many Unemployment Insurance claimants in training increases as duration on UI increases. Presenting the training option only at the initial profiling meeting may not be as effective as presenting the training option at the tenth week of the claim and at the time of any UI extension. "We've already told them about training" ignores the reality that customers "hear" differently as their period of unemployment progresses.

Are you promoting all of the benefits of training?

✓ Get a better job at better wages

✓ Increase your job-getting odds in a tough (*very* competitive) economy

✓ Improve your skills *while* you are looking for a job

✓ Capture the opportunity for a new career and
do something you've always really wanted to do

✓ Tell your friends you are a student, not that you are unemployed

✓ Use your time on Unemployment Insurance to invest in the future

✓ Choose training that is right for you---it doesn't have to be like school

✓ Apply today for available financial aid---before the money is gone

Strategy 5:
Embedding Training Access into the Center Customer Flow

All businesses have preferred customer paths, even though customers always have choices, including not buying at all. All customer flow processes have a bias toward a desired outcome.

The legacy "preferred customer path" for Centers was "work first" and the operating procedures reflected that bias:

- Everyone started with self-service in the resource area, registered for work, and used the Center computers for job search
- Training eligibility determined by an inability to get a job through core and intensive services, and training accessed primarily by customer request and referral to program-specific staff
- "Marketable skills waivers" routinely given (even though TAA has a path with a training bias) and Reemployment Services orientations only stressed job search requirements, registration, and job matching

A new customer flow is needed that starts with the assumption that many customers will need and want training, as well as needing and wanting a job:

- All Center customers start with a staff-assisted service
- All Center customers receive an initial assessment and most receive a comprehensive assessment that focuses on skills enhancement and barrier removal
- All Center staff conducting the comprehensive assessment are empowered to help that customer access and enroll in training
- All Center claimant customers are actively informed about and urged to participate in the 599 Program, as well as job search services

Some local areas have not modified or documented their customer flow processes and procedures since implementation of functional alignment in 2006. In some local areas these procedures and processes are not uniformly implemented across Centers and not even within the same Center.

All local areas will want to reexamine their policies, processes, and procedures to ensure responsiveness to the new economic realities, the increased quantity of Center customers, and the new training expectations.

Strategy 6:
Streamlining Processes to Make Training More Accessible

Clear procedures and processes are key to system change and increasing the number of One-Stop Center customers who access and enroll in training and skill development. Transposing new expectations on top of historical processes will not lead to new outcomes.

Fundamental re-thinking of the customer flow from “entry to enrollment” is required. Staff will only be able to implement a vision that is translated into the reality and the nitty-gritty of their day-to-day work. Only when there is a single document that clearly identifies “who does what when” can staff develop the understanding and skills needed to implement a functional customer flow where all process steps lead to a jointly achieved goal.

Local Workforce Areas and Centers must successfully execute their customer flow processes within a wide range of federal, state, and local policies and requirements: eligibility, data validation, OSOS data entry, 599 approval, initial assessment policies, TAA rules, Pell Grant application, ITA justification and approval, support services/needs related payments, and many others. All must be understood and implemented within real time.

The mere complexity and breadth of these mean that some staff do not have the clarity or comprehensive knowledge needed to both comply and meet expectations. Since these requirements are sometimes siloed, linear, unaligned, and unconnected there is a need to “connect the dots” within a single document that includes and aligns all relevant policies and requirements with the new goals.

Local Workforce Boards and One-Stop Centers are urged to develop a comprehensive procedures manual to outline new customer flow processes that:

- Eliminates unnecessary steps and redundancies that waste the time of both customers and staff.

- Ensures that all process steps add value for the Center customer and support the goal of increasing training access and enrollments.

- Eliminates “paper work” that is not actually required.

- Reduces the cycle-time for the entire “entry to enrollment” process, as well as between each customer flow step

- Drives down decision-making, wherever possible, so that staff is empowered to make decisions that reduce cycle time

- Improves the conversion ratios of all customers who visit the Center and who actually enroll in training and skill development.

Using LEAN Manufacturing Principles to Increase Training Access

Many of the leading manufacturers have improved their manufacturing process using LEAN principles. One-Stop Centers can use these principles, as well, to improve their customer flow and to increase access to training.

LEAN is “a systematic way to deliver the highest quality, lowest cost products with the shortest lead-times through the relentless elimination of waste.”

For One-Stop Centers to increase training access, the LEAN improvement process begins with the development of an “as is” customer flow that clearly specifies all required and actual steps from customer entry to training start. This customer flow is then analyzed to add value and remove waste.

“Added value” is defined as any process step that increases the perceived and actual value for the Center customer and increases the likelihood that Center customers will go on to access and enroll in training.

Examples of “entry to enrollment” process steps that typically add-value are:

- Presenting meaningful labor market information that helps customers understand how skill development and training will lead to better jobs at better wages

- Customizing services offered to meet a specific customer’s needs as identified in the initial and comprehensive assessment

- Helping customers clarify their career goals and offering specific services to help them attain them

- Providing a robust menu of training options and ensuring informed customer choice in selecting from them

- Bundling and providing financial resources to pay for training (including supportive services) without customers needing to understand program requirements

"Waste" is defined as any step that does not add value to the desired outcome (i.e., more enrollments in training.) Waste should be eliminated, simplified, reduced, or integrated whenever possible. Reducing non-value added activities is the first step to process improvement.

There are two types of waste (i.e., non-value added activities): those required for business and those not required. One-Stop Center funding requirements and regulations result in including process steps that would otherwise be considered waste. In those cases, business required (but not Center customer value-added) activities should be minimized, whenever possible, and viewed as necessary, but not as a driving purpose.

Examples of "entry to enrollment" process steps that may potentially be defined as "waste" (since they do not add-value to the Center customer and do not enhance the end result of enrolling more customers in training) are:

- Telling customers about what may be available to them instead of immediately initiating service delivery

- Handing-off customers between multiple program-specific staff instead of permitting all staff to be able to serve customers holistically

- Requiring multiple, unnecessary customer visits and meetings before customers can actually enroll in training

- "Testing for motivation" through requiring customers to take too many steps and complete too much "homework" before even being considered for training, and using these process steps to weed potential customers out

- Maintaining both paper and electronic files, even when only electronic records are required

- Going beyond what is actually required for eligibility documentation

- Assessing for training program entry requirements when the training provider will also be conducting a similar assessment

- Delaying approval of training for customers due to long lag times caused by multiple levels of approval authority

After developing the “as is” customer flow and analyzing the flow for where value can be added and where waste can be eliminated, Centers will want to develop a new customer flow with an eye toward continuous improvement. Workforce Board staff, Center Leadership, and all Center staff should act as a team in the improvement of the “entry to enrollment” process.

Chapter 3:

Model Customer Flow for Moving More Customers into Skill Development and Training

This Chapter includes:

- Model "entry to enrollment" customer flow with process steps
- Description of recommended activities within each process step
- USDOL and NYSDOL policy references related to the step
- Promising practices from New York State and across the country

Chapter 4 ties this flow to OSOS data entry and to documentation requirements and Chapter 5 summarizes the related policies.

This model is meant as a benchmark and starting point for local areas and Centers to reengineer their own processes.

Important Note:

This customer flow only focuses on access and entry into skill development and training. You may also want to include in your process mapping what is required of customers and staff after enrolling into training.

Increasing the number of people in training without increasing staff means that case management responsibilities and policies (including frequency of contact and required case notes) must be examined to determine what actually adds value and what can be streamlined through waste elimination.

If case management policies are burdensome, they act as a potential barrier to staff enrolling more people into training.

Promising Practices:

Hempstead: The training provider is required to verify trainee start, to complete a trainee performance review monthly, and to notify Center staff if the trainee is absent. This removes the burden from the staff to need to contact the trainee directly.

New York City: Trainees are scheduled for Job Search Workshops at the end of training to assist in "entered employment" and as a means for continuous engagement with the customer.

Model Customer Flow Into Skill Development and Training

Potential Customer Streams:
Dislocated Workers/ Claimants (1.a)

- *Rapid Response (1.a.1)*
- *TAA Certified (1.a.2)*
- *Interest at Claim Filing (1.a.3)*
- *Profiled Claimants (1.a.4)*

Potential Customer Streams:
Adults/ Center Customers (1.b)

- *All Center Customers (1.b.1)*
- *Request Training at Entry (1.b.2)*
- *Referred by Provider (1.b.3)*
- *Partner Referral (1.b.4)*

Option: Group Meeting (5)

Initial Assessment (2)

- *All Center Customers (2.a)*
- *Claimants (2.b)*

Career Development Services (3)

Option: Skill Develop (9)

Comprehensive Assessment (4)

- *All Center Customers (4.a)*
- *Claimants (4.b)*

Option: Group Meeting (5)

- *Overview of CDS (5.a)*
- *Schedule 1-1 Meet (5.b)*
- *Customer Next Steps (5.c)*

↓ *Option* ↓

Skill Development (9)

Training (10)

- ITA (10.a)
- Non-ITA (10.b)

Required: 1-on-1 Meeting (6)

- Career Planning/IEP (6.a)
- Skills/Training Options (6.b)
- Funding of Training (6.c)
- Supportive Services (6.d)
- Customer Next Steps (6.e)

Decision/Approval (7)

Arrange Training Start (8)

Potential Training Customer Streams
(Steps 1.a and 1.b)

Potential Customer Streams:
Dislocated Workers/ Claimants (1.a)

- Rapid Response (1.a.1)
- TAA Certified (1.a.2)
- Interest at Claim Filing (1.a.3)
- Profiled Claimants (1.a.4)

Potential Customer Streams:
Adults/ Center Customers (1.b)

- All Center Customers (1.b.1)
- Request Training at Entry (1.b.2)
- Referred by Provider (1.b.3)
- Partner Referral (1.b.4)

1.a Claimants/Dislocated Workers:

- All are Co-Enrolled, Whenever Possible: TAA/WIA DW/WP

1.a.1 Rapid Response

- Promotion of Training <u>and</u> Jobs
- Conduct (or Schedule) Initial Assessment
- Invitation/Scheduling for Comprehensive Assessment

1.a.2 TAA Certified

- Rapid Response: Training <u>and</u> Jobs
- TAA Orientation: Stress Training Bias
- Notification/Petition Approval
- Contacting/Scheduling: Group/1-on-1
- Determine if Waiver from Training (If So, Engage in Job Search Ready, Job Match, and Self Services; If Not, Continue through Career Development Services Flow)

<u>Reference Technical Advisory #04-6 (and Revisions 1 and 2)</u>: "Guidance on Integrating Services Under the Trade Act Programs with the Workforce Investment Act.

<u>Reference USDOL TEGL #22-08</u>: "Operating Instructions for Implementing the Amendments to the Trade Act of 1974 Enacted by the Trade and Globalization Adjustment Assistance Act of 2009"

1.a.3 Interested in Training at UI Claim Filing

- Told to Contact Center
- 599 Fact Sheet/Brochure Available Online

Reference USDOL TEGL #21-08 and 21-08, Change 1: "Pell Grants and the Payment of Unemployment Benefits to Individuals in Approved Training." Letters sent to claimants advising them of potential eligibility for Pell Grants and told to contact either community colleges or One-Stop Career Centers.

1.a.4 Profiled Claimants

- Initial Assessment (Review of Profiling Scores)
- Determine if Need Career Development Services
- *Contact by E-Mail/Phone or Invite In*
- *Conduct/Schedule Comprehensive Assessment*
  (Option: Invite to Group Session)

Promising Practices:

- *Broome-Tioga: Invited all profiled claimants to Career and Training Expo with workshops and 30 training providers*
- *Hempstead: DVD Orientation on Website; Online Application*

1.b Adults/Center Customers

1.b.1 All New Customers Entering Center

- Front-Desk Promotion of Training and Jobs
- Conduct Initial Assessment:
  Determine Need for Career Development Services
- *Conduct/Schedule 1-on-1 Comprehensive Assessment*
  (Option: Invite to Group Session)

Promising Practice

- *North Country: A "Welcome Team" rotates responsibility for meeting one-on-one with all new customers entering the Center for Initial Assessment*

1.b.2 Customer Requests Training at Center Entry

- Publicity/Website/Word-of-Mouth
- Phone/Walk-In: Training and Jobs Promotion
- Front-Desk: Training and Jobs Promotion
- Conduct Initial Assessment:
  Determine Need for Career Development Services
- *Conduct/Schedule Comprehensive Assessment*
  (Option: Invite to Group Session)

Promising Practices:

- *North Country: In-Center signage, "Ask Us About Training"*
- *Jefferson-Lewis: Publicized and hosted "Training Fair"*

1.b.3 Referred by Training Provider

- Phone/Front-Desk: Training and Jobs Promotion
- Conduct Initial Assessment:
  Determine Need for Career Development Services
- *Conduct/Schedule Comprehensive Assessment*
  (Option: Invite to Group Session)

1.b.4 Program/Center Partner Referral
(E.G., Voc Rehab; TANF; Older Youth)

- Notified by Partner/Contact Customer
- Front Desk
- If Referral: Initial Assessment Is Completed
- *If No Comprehensive Assessment Already Conducted by Referring Agency: Conduct/Schedule Comprehensive Assessment; Build on Partner Assessment (Option: Invite to Group Session)*

Initial and Comprehensive Assessment for Career Development Services (Steps 2, 3, and 4)

Option: Group Meeting (5)	←←	**Initial Assessment (2)** *- All Center Customers (2.a)* *- Claimants (2.b)*
		↓
		Career Development Services (3)
		↓
Option: Skill Develop (9)	←←	**Comprehensive Assessment (4)** *- All Center Customers (4.a)* *- Claimants (4.b)*

2. Initial Assessment

All One-Stop Customers, except claimants who are work search exempt, are to receive an initial assessment. This initial assessment is a determination by staff of whether the customer needs Job Ready Services or Career Development Services. Those with barriers to employment, unclear or unrealistic career goal, and/or without the skills and abilities to find employment in the current local labor market move to Career Development Services.

Reference Technical Advisory #08-4: *"Effective Use of Assessment in the Workforce Investment One-Stop System."*

2.a Initial Assessment: All Center Customers

- Upon Center Entry, identified Center Staff collects sufficient information to have conducted an initial assessment.
- Those identified as having barriers to employment, unclear or unrealistic career goals, and/or without the skills and abilities to find employment in the current local labor market are moved to Career Development Services.
- Those identified as needing Career Development Services meet 1-on-1 with a staff person or are invited/scheduled to a group session.

2.b Initial Assessment: Claimants

- Using UI Profiling Scores, conduct initial assessment:
- Scores of 1 to 30: Invite customer for Job Ready Services
- Scores of 31 to 69: Schedule Customer for Comprehensive Assessment
- Scores of 70 to 100: Determined to Need Career Development Services and Schedule Customer for Group Session/ 1-on-1 to initiate Career Development Service Delivery
- All Claimants with Scores of 31 to 100 are given 599 Brochure and Fact Sheet and Pell Grant Information at Scheduling

Reference Technical Advisory # 06-15: "State Policy Guidelines on Serving Unemployment Insurance Customers." Emphasizes early intervention and specifically requires all UI Claimants subject to work search receive an initial assessment to direct the individual's service needs and plans.

Reference Technical Advisory #08-4: "Effective Use of Assessment in the Workforce Investment One-Stop System."

3. Career Development Services

- Career Guidance, Counseling, and Coaching
- Development of an Individual Employment Plan, Including Skill Development and Training
- Skill Development, Training and Supportive Services
- Staff-Supported Job Search Ready Services

Reference Technical Advisory #08-4: "Effective Use of Assessment in the Workforce Investment One-Stop System."

4. Comprehensive Assessment

- The comprehensive assessment is a staff-assisted service.
- It identifies barriers to employment, employment/ occupational goal, and the necessary knowledge, skills, and abilities needed to meet the employment goal.
- The outcome is development of an IEP, including skill and training services, with any needed supportive services.

- A variety of tools are used to conduct this Comprehensive assessment, including presentation of local labor market information, structured interviews, interest and career exploration inventories (JobZone's Ability Profiler), skill assessment tools (JobZone's Skills Profiler), and/or occupational skills (ProveIt).

Reference Technical Advisory #08-4: *"Effective Use of Assessment in the Workforce Investment One-Stop System."*

4.a Comprehensive Assessment: All Center Customers

- During Comprehensive Assessment, staff promotes appropriate and available skill development and training services

- *Depending on Comprehensive Assessment and IEP, customer may be scheduled for a Group Meeting (5), appropriate Skill Development Services (9), or begin the process for entering training (6.a to 6.e)*

4.b Comprehensive Assessment: Claimants

- If a Claimant has been scheduled for a comprehensive assessment and does not attend the scheduled meeting, they should be recontacted and rescheduled.

Promising Practice:

- *Promoting skill development and training over the life of the claim (e.g., weeks 8 to 10; week 18; at time of extension). Eligibility for 599.2 requires approval by 13th week.*

- *Orange County: Letters are sent to Claimants throughout the claim and targets 10 to 12 weeks as a prime opportunity for engaging claimants for training opportunities*

Option: Group Meeting
(Step 5)

Option:
Group Meeting (5)

- *Overview of CDS (5.a)*
- *Schedule 1-1 Meet (5.b)*
- *Customer Next Steps (5.c)*

→→

Required:
1-on-1 Meeting (6)

- Career Planning/IEP (6.a)
- Skills/Training Options (6.b)
- Funding of Training (6.c)
- Supportive Services (6.d)
- Customer Next Steps (6.e)

↓ *Option* ↓

Skill Development (9)

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Decision/Approval (7)

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Training (10)

- ITA (10.a)
- Non-ITA (10.b)

←←

Arrange Training Start (8)

5. Option: Group Meeting

- Held at Least Once Weekly
- Held at Center or Off-Site, If Inadequate Space
- Led/Facilitated by Staff with Presentation Skills
- Supported by PowerPoints and Comprehensive Welcome Package

Promising Practice:

- *Cayuga-Cortland: A facilitated meeting that includes some Comprehensive Assessment Activities that does not just orient customers to services, but actually begins service delivery; a self-assessment form*

5.a. Overview of Career Development Services

- Not a "WIA" Orientation
- Not Eligibility Requirements, Since Multiple Sources Are Available to Fund Training Besides WIA
- Focus on all Career Development Services
- Presents Local Labor Market Information
- Promotes Skill Development and Training Services
- Provides Specifics on What is Available
- Overview of Next Steps

Promising Practice:

- *CNY Works: Names this group session "Exploring Training Opportunities"*

5.b Schedule 1-on-1 Meeting

- Meeting is scheduled (not told to call to make appointment)
- No more than a week from Group Meeting
- Specific staff person identified and introduced
- Clear explanation of what will be accomplished at meeting and what to bring
- Appointment card
- *Option: Customer may also be scheduled for an appropriate and available Skill Development (9) opportunity*

Promising Practice:

- *Cayuga-Cortland: Staff available to meet 1-on-1 immediately at conclusion of Group Session to initiate process steps (6.a to 6.e) to reduce cycle time*

5.c Required Customer Next Steps

- Requirements should not be onerous, should add value to the customer in the development of the IEP, and should not be used as a “test of motivation” or as a “screening out” methodology

- Potential value-added next steps may be recommended, but not required

- Those activities potentially adding value include: career exploration (informational interviews, labor market research); visiting training providers; development of a resume

- May ask customer to bring to 1-on-1 meeting any required income/public assistance documentation

- Customers requested to attend meeting, regardless of completion of desired or required next steps

Promising Practice:

- *CNY Works: Checklist of requirements in Welcoming Package distributed at Group Meeting*

One-on-One Meeting
(Step 6)

Option:
Group Meeting (5)

- Overview of CDS (5.a)
- Schedule 1-1 Meet (5.b)
- Customer Next Steps (5.c)

➔➔

Required:
1-on-1 Meeting (6)

- Career Planning/IEP (6.a)
- Skills/Training Options (6.b)
- Funding of Training (6.c)
- Supportive Services (6.d)
- Customer Next Steps (6.e)

↓

Decision/Approval (7)

↓

Arrange Training Start (8)

↓ Option ↓

Skill Development (9)

←← ➔➔

Training (10)

- ITA (10.a)
-Non-ITA (10.b)

←←

6. Required: 1-on-1 Meeting

- If a customer who has been scheduled for a 1-on-1 meeting does not show for the meeting, the customer should be contacted and rescheduled.

6.a. Career Planning and Development of IEP

- Building on the information collected in the initial and comprehensive assessment and continuing with this one-on-one meeting, an IEP should be developed including at a minimum:

- Comprehensive assessment information

- Employment goal with labor market outlook for that goal

- Existing skills, work history, training, and educational attainment

- Strategies to overcome any employment barriers

- Justification of the need for training, if occupational training is planned in the IEP

- Action plan and, if occupational training is planned, a start date with an anticipated date of completion.

- Staff should promote and encourage occupational training and skill development whenever appropriate in the IEP development process

- If a claimant's IEP includes training, the claimant is given the 599 application (OS44) to complete and return with documentation within 14 days. Staff should walk the customer through the form and ensure they are clear on what is required.

- Customers should be given a copy of the developed IEP and the status of its implementation should be part of the discussion for any subsequent meeting.

Reference NY Technical Advisory #09-2: "Individual Training Account (ITA) Approval Policy." Under Functional Alignment, the staff person (regardless of the employer of record) conducting the comprehensive assessment is authorized to develop and submit an ITA for funding approval. LWIB ITA policies must comply with this TA.

Promising Practice:

- *Herkimer/Madison/Oneida: Offering "Career Ladder" seminars within demand industry/occupation tracks*

6.b Presentation of Skills Development and Training Options and Selection of Best Option

- Presentation of options should be customized to reflect the results of the Comprehensive Assessment and documented within the IEP.

- Center staff should be sufficiently knowledgeable about skill development and training options to be able to explain entry requirements, content, and potential value to the customer.

- "Suitability Determination" is not a WIA eligibility or skills/training requirement. All customers are "suitable" for skills development and training. Staff assist customers in deciding the best option, but do not decide no options are available.

- Customers should only select training options for which they are qualified to meet training program entry prerequisites and will be able to be qualified for employment in that occupation after training completion.

- It may be necessary to schedule further assessments to determine eligibility for a specific training program. There are two options: the customer may contact the school for any required testing and/or the staff may schedule appropriate testing to determine likely eligibility. When possible, redundant testing should be eliminated.

- Any testing by the staff should not be used to determine eligibility for all training services (i.e., "TABE minimum scores") but only to help customers in selecting a specific training program.

- Any customer who does not meet the minimum requirements, should be given a choice of remedial services (or skill development services) to prepare them for entry into the desired training program, or provided assistance is selecting a training program for which they are qualified.

- *Customers may always receive Skills Development (9)*

- *Customers who receive Skills Development should be scheduled for a follow-up meeting to discuss progress on IEP, potentially be scheduled for additional Skills Development services, and, offered the opportunity to move to Training Services (10)*

Promising Practice:

- *Hempstead: Consumer Reports on Eligible Local Providers given to customers to help them make wise choices*

6.c Funding of Training

- The goal is to increase the number of people in training, not just to expend WIA dollars. Multiple sources of funding should be considered and funding decisions should be explored after the decision is made to include training as a service in the IEP. Potential "WIA eligibility" should not act as a barrier to moving forward in developing a training plan.

- Depending upon the specific customer status, a wide range of potential sources should be considered for funding the training and may be bundled:

  Pell; GI Bill; Scholarships; TAA; WIA Adult Formula and ARRA; WIA DW Formula and ARRA; WIA Youth; VESDID, SUNY Bridge; TAP; and others.

- Staff will need policy guidance on which sources are to be tapped, in what sequence. Staff also need to know on a real time basis the amount of money available for training funded by WIA Funds.

- The Occupational Demand List and Eligible Training Provider List should be presented if the training is to be WIA-funded.

- Local ITA Policy defines the maximum ITA amount and duration for the WIA Adult and Dislocated Worker programs. (NY Technical Advisory #04-6.3 defines the maximum amount for TAA customers.)

- For WIA Adult or Dislocated Worker Funded training, USDOL states the "sequence of service does not mean that the individual must go through layers of service to prove need. The provision of training or other needed services can then be provided sequentially, concurrently, or in whatever order makes the most sense for the individual."

  All Customers who have received an initial assessment (2) and a comprehensive assessment (4) have received the core and intensive services needed to move to WIA-funded training.

  Using a minimum number of "failed job searches" or "minimum number of days in core services" is not permitted, since WIA is not a "work first" program and training and skill development is encouraged for all Center customers.

- For formula WIA Adult and Dislocated worker funds, priority is to be given to Covered Veterans and Eligible Spouses.

  For ARRA WIA Adult funds, priority is given to those who are low-income or on public assistance.

For formula WIA Adult and Dislocated Worker funds, if the Local Workforce Board has determined that funds for training services are limited, priority is given to those who are low-income or on public assistance, with the highest priority given to veterans who meet this criteria.

Priority does not mean exclusivity and other customers may be offered training services as well, as long as priority is maintained.

- All active, profiled, UI Claimants are eligible for WIA Dislocated Worker funded-training.

Reference NY Technical Advisory #09-2: "Individual Training Account (ITA) Approval Policy." Remediation of a skills gap identified through comprehensive assessment is sufficient justification for an ITA.

Reference NY Technical Advisory 09-13: Revision of the Lower Living Standard Income Level (LLSIL) for 2009

Reference NY Technical Advisory #09- 14: Implementation of Veterans' Priority of Service for Covered Persons in Qualified USDOL Job Training Programs

Reference NY Technical Advisory #08-8: "Reissued: State Policy Guidelines on Data Element Validation under the USDOL/ETA Common Measures Policy and Functional Alignment"

Reference USDOL TEGL #14-08: "Guidance for Implementation of the Workforce Investment Act and Wagner-Peyser Funding in the ARRA of 2009"

Promising Practices:

- *Herkimer/Madison/Oneida: Financial Aid seminar, including Assistance in completing the FAFSA; Unified scholarship application across funding sources, rather than program-by-program.*

- *Outstationing or co-locating with Community College Financial Aid Staff*

- *Alternative: The final approval authority decides which funding source is to be used and not the recommending staff*

6.d. Assess Need for Supportive Services and Plan to Provide

- All Local Workforce Boards must adopt a Supportive Services policy. This policy must include the provision for Needs-Related Payments. Both must comply with relevant WIA regulations.

- Supportive services (including needs-related payments) should be offered and encourage whenever these services will permit the individual to participate in training.

<u>Reference WIA Regulations on Supportive Services:</u> Subpart H, Sections 663.800; 663.805; 663.810

<u>Reference WIA Regulations on Needs-Related Payments:</u> Subpart H, Sections 663.815; 663.820; 663.825; 663.830; 663.840

6.b Required Customer Next Steps

Decision, Approval and Training Start
(Steps 7 and 8)

Option:
Group Meeting (5)

- Overview of CDS (5.a)
- Schedule 1-1 Meet (5.b)
- Customer Next Steps (5.c)

→→

Required:
1-on-1 Meeting (6)

- Career Planning/IEP (6.a)
- Skills/Training Options (6.b)
- Eligibility/Priority (6.c)
- Supportive Services (6.d)
- Customer Next Steps (6.e)

↓ *Option* ↓

Skill Development (9)

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Decision/Approval (7)

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Arrange Training Start (8)

←←

Training (10)

- ITA (10.a)
-Non-ITA (10.b)

7. Decision and Approval

- Clear, objective, criteria for approval should be adopted, be publicly available, and err on the side of inclusion and not exclusions.

  Since all Center customers are enrolled in WIA early in the process, no consideration of impact on siloed, WIA performance standards should be a factor in deciding who is selected for WIA-funded training.

- The decision and approval process should be as rapid as possible with as few approval layers as possible.

- If the process includes an “approval committee,” the committee should meet frequently enough to not increase cycle time.

- If the process includes supervisory and/or financial sign-off, expected completion times should be established.

- Customers are to be notified of the decision as soon as known.

- If the customer is not approved for WIA-funded training, Center staff should meet with the customer to explore other options for funding occupational training. All customers not selected for WIA-funded training should be offered skill-development services (9).
- Customers not approved for WIA-funded training, should be offer the opportunity to appeal and this process should be explicitly communicated to the customer at the time of non-approval notification.

Promising Practices:

- *St. Lawrence County: Frontline staff are empowered to approve training with a cost below $4000 without further Supervisory approval*
- *Orange County: Cycle time goal of one week from comprehensive assessment with an IEP including training to final training approval*

8. Arrange Training Start

- Make arrangements with training provider and send voucher
- For UI Claimants, an acceptance letter is required for 599 approval. Center staff should facilitate this process.

Skill Development and Training
(Steps 9 and 10)

9. Skill Development

- These are offered as “short-term prevocational services” and “skill development” is defined as any service that improves the workplace skills of customers.

Promising Practices:

- *Onondaga: Facilitated e-learning workshops at the Center*
- *Erie: Offers a wide-range of Microsoft Office and Vista training modules on and offsite through the Community College and Adult Education. Transportation stipends are offered for classes attended.*

10. Training

10.a ITA

- Local Workforce Boards have responsibility to ensure a vibrant Eligible Training Provider List and continuously update the Occupational Demand List to reflect the realities of the current, regional economy.
- Each Local Workforce Board must have a comprehensive ITA Policy, which includes, at a minimum, ITA cap amount, ITA timeframe, priority of service, self-sufficiency standards, demand occupation/skills in the local area, training programs that address the skills needed for the demand occupations, and the availability of funding for ITAs.
- This policy, and any updates, is to be distributed to all Center staff that provides Career Development Services under functional alignment.
- NYSDOL reserves the right to identify demand occupations and associated training programs deemed to be a priority.
- LWIAs within a Region are urged to adopt a Regional ITA Policy.

Reference NY Technical Advisory #09-2: "Individual Training Account (ITA) Approval Policy." Remediation of a skills gap identified through comprehensive assessment is sufficient justification for an ITA.

Reference NY Technical Advisory 08-7, Attachment 3: "New York Program Year 2008 Incentive and Sanction Policy"

Promising Practice:

- *Greater Capitol Region Workforce Boards: Procuring 3-D Cyberlearning and Virtual Workforce Training to meet regional industry skill and occupational standards.*

10.b Non-ITA

- 10.b.1 OJT
- 10.b.2 Customized Training
- 10.b.3 Registered Apprenticeship
- 10.b.3 Contracted Class-Size Training

Promising Practices:

- *Onondaga and Cortland: Helping customers access apprenticeship training with the electricians union through purchase of needed books and supplies*

Chapter 4:

Data Entry and Documentation Requirements for a Streamlined Customer Flow into Training

Please consider these opening notes before reviewing this Chapter:

- Center services are traditionally categorized as core, intensive, and training tiers and data systems usually reflect this legacy system. This chapter will tie the eligibility, data validation requirements, and data entry to the steps in the model customer flow described in Chapter 3.

- Whenever multiple documentation and data validation methods are permitted (as outlined in New York Technical Advisory #08-08), only the easiest and most streamlined method is noted, since it is preferred.

- Currently, paper files are required in only one situation. When customers are validated for age and age cannot be validated through cross-match with the Department of Motor Vehicles database, hard copy documentation of proof of age must be maintained in a paper file.

- All other eligibility and documentation requirements may be met through OSOS data entry and saved computer documents, including the Individual Employment Plan. Moving to an increased reliance on electronic records does not mean that records are not kept, since all requirements must be met, even if there are no paper files.

- Workforce Boards and One-Stop Centers will want to analyze what is actually required at each process step in the flow and remove unnecessary customer and staff burdens, while still complying with requirements, to streamline their adopted flow. "Over-compliance" is not a value-added service---it is a LEAN "waster".

Potential Customer Streams

Potential Customer Streams:
Dislocated Workers/ Claimants (1.a)

- *Rapid Response (1.a.1)*
- *TAA Certified (1.a.2)*
- *Interest at Claim Filing (1.a.3)*
- *Profiled Claimants (1.a.4)*

Potential Customer Streams:
Adults/ Center Customers (1.b)

- *All Center Customers (1.b.1)*
- *Request Training at Entry (1.b.2)*
- *Referred by Provider (1.b.3)*
- *Partner Referral (1.b.4)*

1.a.1 Rapid Response (Dislocated Workers):

Background Data:

- Employer Services Team enters Rapid Response Event data on Employer Record/Rapid Response Tab
- Employer Services Team or One Stop Staff link appropriate Work History record to Rapid Response Event Number from Employer record
- Provider, Services, and Offering records must exist prior to entering L2 Services
- If TAA, Certification must occur outside of NYOSOS and the Petition number be linked to the Work History record

Data Entry:

- For **registered** WIA funded Adult or Dislocated Worker, update customer record and enter rapid response as a L1 Staff Assisted Core/ Orientation (Rapid Response) and/or L2 Services as appropriate in Services Module, Services tab.
- All TAA funded services with linked petition # must be entered as L2 Services in Services Module, Services tab.

For **unregistered** customer, see Rapid Response following **CORE** service.

Enter Center

UI Claimants

Eligibility:

- Age: 18 and older
- Selective Service: Males born after 12/31/1959 via electronic confirmation from Selective Service System "register/look-up".
- Veteran via self identification

DEV:

- Age via DMV identification

OSOS:

Register Customer in:

- Customer Module,
- General Info,
- Add'l Info,
- Objective,
- Work History (if applicable),
- Skills, and
- Comments tabs.

Attention paid to the:

- Program/Public Assistance Selection,
- Military Service, and
- Selective Service area on Add'l Info tab.

Enter all relevant comments regarding eligibility & DEV via "Post a Note" button and add relevant L1 Staff Assisted Core Service in Customer Module, Activity tab.

Eligibility:

- Age: 18 and older
- Selective Service: Males born after 12/31/1959 via electronic confirmation from Selective Service System "register/look-up".
- Veteran via self identification

DEV:

- None

OSOS:

- Review and update record
- Data enter comment regarding DOB verified via UIC record

Enter all relevant comments regarding eligibility via "Post a Note" button and add relevant L1 Staff Assisted Core Service in Customer Module, Activity tab.

Eligibility:

- Profile Score > or = 70
- Selective Service: Males born after 12/31/1959 via electronic confirmation from Selective Service System "register/look-up".
- Veteran via self identification
- TAA requires Certification & Petition #

DEV:

- None

OSOS:

- Review and update record
- Data enter comment regarding DOB verified via UIC record

Enter all relevant comments regarding eligibility via "Post a Note" button and add relevant L1 Staff Assisted Core Service in Customer Module, Activity tab.

Adult

Dislocated Worker

Adult

Core Services

Customer Flow Steps:

- Initial Assessment (2)

- Option: Group Meeting Invitation (5)

Policy:

- Initial Assessment required for all Adults (TA 08-4)
- Customers requiring Career Development Services meet individually with a staff person or are invited/ scheduled to a group session

Eligibility:

- Nothing more at this time

DEV:

- Nothing more at this time

OSOS:

- Review and update record
- Add relevant L1 Staff Assisted Core Service in Customer Module, Activity tab.
- Note in comments if customer is Job Search Ready (JSRS) or Career Development Services (CDS)
- Enter all relevant comments via "Post a Note" button

Dislocated Worker

Core Services

Customer Flow Steps:

- Initial Assessment (2)

- Option: Group Meeting Invitation (5)

Policy:

- Initial Assessment required for all Dislocated Workers (TA 08-4; 06-15)
- Customers requiring Career Development Services meet individually with a staff person or are invited/ scheduled to a group session

Profiling: Using UI Profiling Scores, conduct initial assessment:

- Scores of 1 to 30: Invite customer for Job Ready Services
- Scores of 31 to 69: Schedule Customer for Comprehensive Assessment
- Scores of 70 to 100: Determined to Need Career Development Services; Schedule Customer for Group Session/1-on-1 to initial Career Development Service Delivery
- All Claimants with Scores of 31 to 100 are given 599 Brochure, Fact Sheet and Pell Grant Info at Scheduling

Eligibility:

- Nothing more at this time

DEV:

- Nothing more at this time

OSOS:

- Review and update record Add relevant L1 Staff Assisted Core Service in Customer Module, Activity tab.
- Note in comments if customer is Job Search Ready (JSRS) or Career Development Services (CDS)
- Enter all relevant comments via "Post a Note" button

Rapid Response Data Entry

For any Adult or Dislocated Worker with no OSOS record at time of Rapid Response, create a customer record and enter rapid response as a L1 Staff Assisted Core/ Orientation (Rapid Response) and/or L2 Services as appropriate

Option:

Skill Develop (9)

Intensive Services:
Career Development Services (3)

Comprehensive Assessment (4)

Option:
Group Meeting (5)

- Overview of CDS (5.a)

- Schedule 1-1 Meet (5.b)

- Customer Next Steps (5.c)

Option

Skill Development (9)

Required:
1-on-1 Meeting (6)

- Career Planning/IEP (6.a)
- Skills/Training Options (6.b)
- Funding of Training (6.c)
- Supportive Services (6.d)
- Customer Next Steps (6.e)

Preparation for Intensive Services

Career Development Services Customer Flow Process Steps

- *Comprehensive Assessment (4)*
- *1-on-1 Meeting (6)*
- *Skill Development (9)*

Policy:

- Comprehensive Assessment to include:
  - Career Planning
  - Skills Training options
  - Funding availability for training
  - Supportive Services
  - Customer's next steps
- IEP/ITA per TA 09-2

Eligibility:

- Not Self-Sufficient, if employed
- Low Income through self identification

DEV:

- Veteran via State MIS. “Service Veteran” button in OSOS detailing information from customer
- Self Sufficiency, if employed via pay stub
- Low Income via self-attestation or other acceptable method must be verified by staff (for adults only)
- TANF via cross match with TANF Public Assistance records
- Other Public Assistance via cross match with Public Assistance database
- Displaced Homemaker via self-attestation

OSOS:

- Review and update record (demographics, etc.)
- Complete Lower Living Income or 70% Lower Living Standard Income Level fields as appropriate for Adults only
- Note in comments if customer is not considered self sufficient and enter all relevant comments via “Post a Note” button
- Data enter appropriate comment regarding low income
- For TANF recipient use the **Programs/Public Assistance Selection** button; set program indicator to “Yes” for TANF; enter date and record comment that customer has been verified as TANF program recipient
- For Displaced Homemaker:
    - Enter Work History with Category 4 Dislocated Worker (DHP)
    - Use the **Programs/Public Assistance Selection** button; scroll down; set program indicator to “Yes” for Displaced Homemaker; enter date and record comment that customer has been verified as a Displaced Homemaker
- For other program participant, use the **Programs/Public Assistance Selection** button; scroll down; set program indicator to “Yes” for an associated program; enter date and record comment that customer has been verified as a participant in that specific program
- Data enter appropriate L1 and/or L2 service and comment regarding Comprehensive Assessment and IEP/ITA in comments via “Post a Note” button.
- All TAA funded services with linked petition number must be entered as L2 Services in Services Module, Services tab.

Option:
Skill Develop (9)

←←

Intensive Services:
Career Development Services (3)
Comprehensive Assessment (4)
1-on-1 Meeting (6)

↓

Group Meeting (5)

Policy:

- May be offered to non-job ready customers as intro-duction to Comprehensive Assessment
- Overview of career development Services
- Schedule individual meeting for comprehensive assessment
  or
  Establish customer's next steps to upgrade skills

DEV:

Nothing more at this time

OSOS:

- Review and update record
- Data enter appropriate L1 and/or L2 service and comment regarding scheduling of the private Comprehensive Assessment or skills upgrading activity in comments via "Post a Note" button.
- All TAA funded services must be entered as L2 Services in Services Module, Services tab.

→→

Intensive Services

DEV:

- *Nothing more at this time*

OSOS:

- *Review and update record*
- *Data enter appropriate L1 and/or L2 service*
- *Data enter all relevant comments, including next steps, via "Post a Note" button*

↓ *Option* ↓

Skill Development (9)

Intensive service that builds skills, but does not meet WIA 1998 "Training" definition

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→→

Decision/Approval, Training Start, and Training (Customer Flow Process Steps 7, 8, and 10)

Option:
Group Meeting (5)

- Overview of CDS (5.a)

- Schedule 1-1 Meet (5.b)

- Customer Next Steps (5.c)

➔➔

Required:
1-on-1 Meeting (6)

- Career Planning/IEP (6.a)

- Skills/Training Options (6.b)

- Eligibility/Priority (6.c)

- Supportive Services (6.d)

- Customer Next Steps (6.e)

↓ *Option* ↓

Skill Development (9)

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Decision/Approval (7)

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Arrange Training Start (8)

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Training (10)

- ITA (10.a)

-Non-ITA (10.b)

Decision/Approval (7)

OSOS:

- Data enter all relevant comments via "Post a Note" button

Arrange Training Start (8)

OSOS:

- Data enter appropriate L2 training service in Services tab and all relevant comments via "Post a Note" button
  - Select "Services"; "New Service"; "General Info" to bring up the search screens
  - Be sure that the WIB designation is where the training provider is located and data enter the partial name of the provider and click on the "Search" button
  - Check the box for the appropriate Provider, Provider Service Name and Location and click on the "Schedule" button to return to the "Services" screen
  - Enter the Planned Start date, Planned End date, Actual Start date, Program Svc Type and Save
  - If WIA funded, then select an "Achievement Objective Goal" and a "Program"
  - Enter "$1.00" into the "Total Funding" text box and click on the "Add" button
  - Check the box next to the appropriate funding and type in the Obligated Amount ($1, $.50, or $0) click on the "OK" button and Save
- Data enter "Next Contact" date for Inbox reminder / Then Save record.

Training (10)

OSOS:

- Change “Actual Start Date” in the “Services” tab if different than originally entered
- For ITA: Select “Services” and the “Enrollment” tab; check the appropriate Common Measures Enrollment to activate the “Enrolled in Education” text box and select “Yes” if the training occurs as formal education
- Data enter appropriate comments regarding training progress via “Post a Note” button
- Data enter training actual end date in the “Services” tab / Save record
- Data enter any certification or credential earned by selecting “Services” and going to the “Outcomes” tab; check the appropriate WIA service to raise the “Education & Training” items; then using the drop down menus select “Yes” for “Attained Credential”, select the “Type of Credential” and enter the “Date Attained” / Save record.

Chapter 5:

Summary of New York Technical Advisories and Policies Supporting Increased Training Access and Enrollments

NY Technical Advisory	*Policy Summary*
TA 08-4: Effective Use of Assessment in the Workforce Investment One-Stop System *Questions and Answers from Webinars on 6/18/08 and 6/19/08*	- Initial Assessment is the entry gate to Career Development Services (Training) - Claimants and Non-Claimant Customers: All One-Stop Center Customers are to receive Initial Assessment - Profiling scores are used in the Initial Assessment of Claimants - Quantity of claimants who move to training is dependent upon number called-in, quality of comprehensive assessment, and staff promotion and facilitation of training and skill development
TA 09-2: Individual Training Account (ITA) Approval Policy	**ITA Justification:** Remediate skills gap identified through comprehensive assessment is sufficient justification for ITA **ITA Approval Authority:** Staff doing comprehensive assessment is authorized to develop and submit an ITA for funding approval **WIB Responsibilities:** Training budget/reporting; Local ITA Policy complying with this TA

State Policy: 599	"Attendance in training program can be approved under Section 599 of the Unemployment Insurance Law under certain conditions: • Your current employment opportunities are substantially impaired or limited OR • Will upgrade your existing work skills OR • Will train you for an occupation that will lead to more regular, long-term employment The training must: • consist of a minimum of 12 hours of classroom training or 12 credit hours each week • be completed within 24 months • be provided by a competent and reliable training facility • provide skills and qualifications required to work in claimant's occupational goal • relate to an occupation for which there are, or expect to be, reasonable employment opportunities within the State or your local area's labor market AND • you have the qualifications to successfully complete the training program"

TA 04-6: Guidance on Integrating Services Under the Trade Act Programs with the Workforce Investment Act	"Marketable Skills Waiver" from Training Requirement: "Possess Marketable Skills: The worker has marketable skills and there is a reasonable expectation of employment at equivalent wages in the foreseeable future. The assessment performed as part of a core and/or intensive service should be used to determine if this condition is met."
TA 08-7: NYS PY'08 Incentive and Sanction Policy for LWIA Performance for the WIA Title IB Program and the Wagner-Peyser Act Program	- Initial Assessment (Leads to determining comprehensive assessment and CDS) - Prevent Exit while Still Certifying for UI - Increase Training and Skills Development
TA 06-16.2: REVISED: Level 1 and 2 Service List and Definitions	- All Claimants who are called-in based on their profiling scores will receive the L1, Staff Assisted Core Services: Orientation (Codes 14, 362) and Assessment and Counseling (Codes 11, 12, and 13) - Code 137 ("Short-Term, Pre-Voc"): If these services increase skills, they should be determined to be "Skill Development" - All Codes under L1, State-Specific, 599 One-Stop are relevant to increasing the number of claimants receiving training services

	- All Codes under L1, Needs Related Payments and Supportive Services, are potentially relevant to customers receiving training
TA 08-8: **REISSUED: State Policy Guidelines on Data Element Validation (DEV) under the U.S. Department of Labor Employment and Training Administration's (USDOL/ETA) Common Measures Policy and Functional Alignment**	**At Staff-Assisted Core, WIA Adult (which includes all receiving a comprehensive assessment):** - Date of Birth; - Selective Service - ("Legal to Work", Not Required) **Date of Birth:** - All UI Customers: Validated Cross-Match - ID issued by NYSDMV: Validated Cross Match - Others: Hard Source Documentation Maintained (Attachment C, DOB) **Selective Service:** - <26, not registered, refer, no serve until register; - >26, not willful, referred note in OSOS, no hard copy, can serve **Veteran Status:** - Self-Identification; State MIS **Employment Status:** - Local Board Policy for validation **Employed/Self-Sufficiency:** - At first Intensive, LWIBS establish criteria and source documentation

	Low-Income: - ARRA: "Priority" - Formula: Depends on Local Policy - At first Intensive, record OSOS note and source documentation (includes Staff Verification of Applicant Signed Statement (Self Attestation). **TANF:** - Counts Food Stamps - Cross-Match with TANF; OSOS Entry **Dislocated Worker:** - All Active, Profiled, UI Claimants are WIA Dislocated Workers
TA 09-13: **Revision of the Lower Living Standard Income Level**	- Relevant to priority for Low-Income priority for Intensive/Training in ARRA
TA 09-14: **Implementation of Veterans' Priority of Service for Covered Persons in Qualified USDOL Job Training Programs**	- For Formula WIA: Covered Persons have Priority for Intensive/Training - For ARRA WIA Adult: Low-Income/Public Assistance have Priority (Not Covered Persons) for Intensive/Training