

# SC WORKS

## TRIDENT

**Program Year 2014**

**STATEMENT OF WORK  
July 1, 2014 thru June 30, 2015**

**Program Year 2014 STATEMENT OF WORK**

July 1, 2014 through June 30, 2015

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### **PREFACE**

The Berkeley-Charleston-Dorchester Council of Governments (BCDCOG) hereinafter referred to as the Administrative Entity of the Workforce Investment Act Grant, having an agreement with the Trident Workforce Investment Board (TWIB), hereinafter referred to as the TWIB, to operate the SC Works Trident System, hereinafter referred to as the SC Works Trident. SC Works Trident will serve employers, workers, and job seekers, pursuant to the rules and regulations of the Workforce Investment Act (WIA) of 1998. The WIA reformed federal job training programs and created a new, comprehensive workforce investment system intended to be customer-focused to help access the tools they need to manage their careers through information and high quality services and to help U.S. companies find skilled workers.

### **OVERVIEW**

#### **Workforce Investment Act/ SC Works Trident System Overview**

The purpose of the Workforce Investment Act is to provide workforce investment activities, through statewide and local workforce investment systems, that increase the employment, retention, and earnings of customers, and increase attainment of occupational skills by customers, and, as a result, improve the quality of the workforce, reduce welfare dependency, and enhance the productivity and competitiveness of the Nation. The Workforce Investment Act (WIA) establishes a One Stop delivery system consisting of required partners for implementing WIA employment and training activities for eligible adults. SC Works Trident system provides universal access to core services and limited access to WIA-funded intensive and training services SC Works Trident system consists of tiered levels of services, and access to each progressive level is predicated by receipt of certain lower-tiered services. In order to better understand roles and responsibilities under this grant, it is essential to understand what constitutes core, intensive and training services.

There are three tiers of services that are delivered through the SC Works Trident system, which are core, intensive and training. These tiers will be explained in more details throughout this statement of work.

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LOCATIONS

**SC Works Trident System Locations and Office Hours**

**Comprehensive Center**

SC Works Charleston Center  
1930 Hanahan road Suite 200  
North Charleston, SC 29406  
Phone: (843) 574-1800  
Fax: (843) 574-1842  
Toll-Free: (888) 226-1606  
Center Manager Cassandra Jamison

**Satellite Office**

SC Works **Berkeley Center**  
100 South Highway 52  
Moncks Corner, SC 29461  
Phone: (843) 761-4400  
Toll-Free: (888) 226-1606  
Center Manager Ellen Dewees

**Satellite Office**

SC Works **Dorchester Center**  
2885 W. 5<sup>th</sup> North Street  
Summerville, SC 29485  
Phone: (843) 821-0695  
Toll-Free: (888) 226-1606  
Center Manager Seth Duncan

**Access Point**

George W. Tumbleston, Jr. Ravenel Service Center (Charleston County)  
5962 Highway 165  
Ravenel, SC 29470  
Phone: (843) 889-3571

**DATES & HOURS OF OPERATION**

The dates of operation will be July 1, 2014 through June 30, 2015. The BCDCOG Executive Director, in consultation with SC Works Trident staff, will establish regular operational hours to insure the SC Works Trident Center facilities will be open to the public Monday through Friday. SC Works Trident staff will adjust operational hours and provide staff support to accommodate employer hiring and recruitment related activity, business activities, and/or job seekers, as needed. The facility-managing partner will determine Affiliate site dates and operation hours

# SC WORKS

## TRIDENT

### STAFF ACKNOWLEDGEMENT RECEIPT OF THE PY 2014 STATEMENT OF WORK

**All partially and/or fully funded WIA staff members are required to have a signed Acknowledgement of Receipt of the Statement of Work in the staff training development file.**

My signature below acknowledges that I have received a copy of the Statement of Work for the Program Year 2014.

I have read, I understand, and I will comply with its contents and any subsequent additions or deletions.

---

Printed/Typed Name of Staff Member making Acknowledgement

---

Staff Signature

---

Date Received

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### **II. DEFINITIONS**

#### ***ACTIVITY CODES***

An Activity Code is what is used in the SC Works Online System (SC WOS) to track activities and/or services provided to customers in the WIA program. See Attached activity codes and definitions.

#### ***AD HOC REPORTS***

Supplemental reports accessed through the SC WOS homepage. All WIA Program Directors and Program Managers have access to these reports. These reports are used for monitoring purposes. Incorrect data must be corrected in the Virtual One-Stop System (SC WOS) in a timely manner.

#### ***ADULT***

1. An eligible Participant who is 18 years or older;
2. Unemployed or underemployed; and
3. is not self-sufficient nor meets the definition of self-sufficiency.

#### ***CERTIFICATE***

Certificates - awarded in recognition of an individual's attainment of measurable technical or occupational skills necessary to gain employment or advance within an occupation. These technical or occupational skills are based on standards developed or endorsed by employers.

Certificates awarded by Workforce Investment Boards are not included in this definition nor are Work Readiness Certificates. A certificate is awarded in recognition of an individual's attainment of technical or occupational skills by:

1. A State Educational Agency or State Agency responsible for administering Vocational and Technical Education within a state.
2. An institution of higher education described in Section 102 of the Higher Education Act (20 USC 1002) that is qualified to participate in the Student Financial Assistance Programs authorized by Title IV of that Act. This includes community colleges, proprietary schools, and all other institutions of higher education that are eligible to participate in federal student financial aid programs.
3. A professional, industry, or employer organization (e.g., National Institute for Automotive Service Excellence certification, National Institute for Metalworking Skills, Inc., Machining Level I credential) or a product manufacturer or developer (e.g., Microsoft Certified Database Administrator, Certified Novell Engineer, Sun Certified Java Programmer) using a valid and reliable assessment of an individual's knowledge, skills, and abilities.
4. A registered apprenticeship program.
5. A public regulatory agency, upon an individual's fulfillment of educational, work experience, or skill requirements that are legally necessary for an individual to use an occupational or professional title or to practice an occupation or profession (e.g., FAA aviation mechanic certification, state certified asbestos inspector).
6. A program that has been approved by the Department of Veterans Affairs to offer education benefits to veterans and other eligible persons.

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7. Job Corps centers that issue certificates.
8. Institutions of higher education, which are formally controlled, or have been formally sanctioned or chartered, by the governing body of an Indian tribe or tribes.

### **DISLOCATED WORKER**

(SC WOS Procedures Manual Sections 6, 7, & 8)

1. An eligible Participant who has been terminated through no fault of their own, or laid off, or has received a notice of termination or layoff from employment;
2. Is eligible for or has exhausted entitlement to unemployment compensation; or
3. Has been employed for a duration sufficient to demonstrate but is not eligible for unemployment compensation due to insufficient earnings or having performed services for an employer that were not covered under a State unemployment compensation law; and
4. Is unlikely to return to a previous industry or occupation;
5. Has been terminated or laid off from employment as a result of any permanent closure of, or any substantial layoff at a plant, facility, or enterprise;
6. Is employed at a facility at which the employer has made a general announcement that such facility will close within 180 days; or
7. For purposes of eligibility to receive services other than training services described in Section 134(d)(4) of the Act, intensive services described in Section 134(d)(3), or supportive services, is employed at a facility at which the employer has made a general announcement that such facility will close;
8. Was self-employed (including employment as a farmer, a rancher, or a fisherman) but is unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters; or
9. A displaced homemaker.

### **DISPLACED HOMEMAKER**

(SC WOS Procedures Manual Sections 7 & 8)

1. An individual who has been providing unpaid services to family members in the home and who has been dependent on the income of another family member but is no longer supported by that income; and
2. Is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.

### **FAMILY**

1. Two or more persons related by blood, marriage, or decree of court, **AND**
2. Who are living in a single residence, **AND**
3. Are included in one or more of the following categories:
  - a. Husband, wife and dependent children
  - b. A parent or guardian and dependent children
  - c. A husband and wife

### **INFORMATIONAL ACTIVITIES**

[\(TEGL 17-05\)](#)

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May include both self-services and staff-assisted core services that are designed to inform and educate a Participant about the labor market and to enable a Participant to identify his/her individual employment strengths, weaknesses, and the range of services appropriate for the individual. The exception is core services that require significant staff involvement.

### ***INDIVIDUAL EMPLOYMENT PLAN***

The Individual Employment Plan (IEP) is an ongoing strategy jointly developed by the Participant and the WIA /SC Works Staff that identifies the Participant's employment goals, the appropriate achievement objectives, and appropriate combination of services for the Participant to achieve the employment goals. Section 4-37 of the SC WOS Procedures Manual outlines the necessary steps to develop an individual employment plan, or IEP. Since the IEP is an on-going/living document, it must be updated in SC WOS as the goals and objectives for the individual change, throughout the entire program participation.

The IEP should begin at registration and then updated once assessment results are received. A new copy should be printed, signed by customer, customer given a copy and the original placed in hard file.

### ***LAST EXPECTED SERVICE***

[\(TEGL 17-05\)](#)

Occurs when the Participant completes the activities outlined in his/her individual employment plan (IEP) and there are no additional services expected other than supportive or follow-up services. Last expected service may also occur in situations where the Participant voluntarily or involuntarily discontinues his/her participation in services outlined in the IEP.

### ***LAST EXPECTED SERVICE DATE***

[\(TEGL 17-05\)](#)

This date is used to determine when a Participant becomes a part of the sampling frame for the customer satisfaction survey. In many instances, this date will be the same as the exit date. In situations where a case was ended, re-opened within 90 days of the original closure date, and then ended again, the date used to determine inclusion in the sampling frame is the initial last expected service date. This date is also the date that triggers follow-up services as long as no additional services are provided (other than supportive or follow-up services) 90 days following this date.

### ***Objective Assessment Survey***

The Objective Assessment Survey is intended to identify initial barriers to employment. Used at Enrollment, the survey allows both the Workforce Specialist and participant to understand some of the initial barriers, impediments, or other issues that may prevent success in the program, identifying and securing employment, or becoming self-sufficient.

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### ***ON-THE-JOB TRAINING***

Learning the tasks and responsibilities of a particular type of employment while engaged in the job as a livelihood.

### ***PARTICIPANT (Customer)***

[\(TEGL 17-05\)](#)

A Participant is an individual who is determined eligible to participate in the program **AND** receives a service funded by the program in a physical location.

### ***CASE CLOSURE***

Case Closure occurs when there are no further planned services for the WIA participant **AND** the soft exit is expected.

### ***PROGRAM EXIT / PROGRAM OUTCOME***

[\(TEGL 17-05\)](#)

Program Exit/Program Outcome means that a WIA Participant has not received a service funded by the program or funded by a partner program for 90 consecutive calendar days **AND** there are no other services or activities planned. The program outcome or exit date will be the very last date of service recorded in the system.

### ***SELF-SERVICE***

[\(TEGL 17-05\)](#)

This occurs when a Participant serves him/herself in accessing Workforce Investment System information and activities in a physical location or remotely, via the use of electronic technologies.

### ***SOFT EXIT***

Soft exit is also known as the universal exit from SC WOS. This occurs when no activity has been entered in a customer's record for 91 days. This includes all programs tracked through the system. If the customer has a Wagner-Peyser activity that occurred less than 91 days, this will keep the WIA record open in SC WOS.

### ***WIA QUARTER CALENDAR***

1. First Quarter: January / February / March
2. Second Quarter: April / May / June
3. Third Quarter: July / August / September
4. Fourth Quarter: October / November / December

**First Quarter after exit means, if a participant exits during any of the months listed in a quarter, the first quarter exit will be in the next set of months. Example: If a person exits in August, the first quarter after exit will be the October thru December quarter.**

### ***RAPID RESPONSE***

Rapid Response is a pro-active, business-focused, and flexible strategy designed for two major purposes. First, to help growing companies access an available pool of skilled workers from

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other companies that are downsizing or who have been trained in the skills your company needs to be competitive.

Second, Rapid Response responds to layoffs and plant closings by quickly coordinating services and providing immediate aid to companies and their affected workers. Rapid Response teams will work with employers and any employee representative(s) to quickly maximize public and private resources to minimize the disruptions on companies, affected workers, and communities that are associated with job loss. Rapid Response can provide customized services on-site at an affected company, accommodate any work schedules, and assist companies and workers through the painful transitions associated with job loss.

### **RECORD RETENTION**

To ensure all required hard copy case files of WIA Participants are maintained for a time-period sufficient to cover data validation and audits, the records must be maintained for **five years**. Therefore, hard copy case files, including WIA eligibility case files, for all WIA Participants must be maintained accordingly. Please refer to the chart below for additional information regarding record retention.

### **Handling of Case Files of WIA Registrants**

1. Hard copy case files of WIA Registrants will be files as inactive cases by Exit Year as soon as all follow-up activities have been completed. Confidential Folders should be kept separate from the hard file. The confidential folder should be labeled with the customer's name and state and application id and maintained in a locked file cabinet in the storage room. On hard files that are waiting to soft exit, the confidential folder should be labeled with the customer's name state and application id and maintained in a separate locked file cabinet from the hard file.
2. These hard copy files, file drawers, and/or boxes will be clearly marked with the appropriate destruction date.
3. Each WIA Registrant will have only one hard copy case file per applicant identification number (APP ID Number). The APPID Number will be written on the outside of the hard copy case file to prevent any confusion during audits, monitoring, and/or data validation. **NOTE: If exited individuals reapply for WIA, a new WIA application will be entered into SC WOS and a new APPID Number will be created. This will require the creation of a new hard copy case file. However, the old file should be pulled to review previous information and services provided to the customer.**
4. Hard copy files of WIA Registrants will be maintained as a single document and placed in filing drawers and/or boxes in alphabetical order whether active or inactive.
5. Inactive hard copy files will be filed in a central location in the storage room. Hard copy files must be made available on short notice (one to two days) for monitoring, data validation, and/or audit purposes.

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### **Handling of Case files of WIA Applicants Never Enrolled**

Hard copy case files of WIA applicants who completed an application, but were never enrolled or were determined ineligible for WIA services will be maintained for **three years**. These files will be forwarded to the WIA designated follow-up staff to store in the file room.

### **Handling of Case Files of Individuals with a Partial WIA application**

Hard files of individuals with partial WIA application will be maintained for **three years**. Eligibility staff will hold the file for the 90 day period. Once the application closes, the hard file will be sent to WIA follow-up staff to be store in the File Storage room.

**All files in follow-up will be sent to the designated WIA follow-up staff to enter into the file database and stored in the file storage room.**

## **RECORD RETENTION SCHEDULE**

### **Program Year Exit Dates Destruction Date \***

PY 2004 April 1, 2004 - March 31, 2005	<b>March 31, 2010</b>
PY 2005 April 1, 2005 - March 31, 2006	<b>March 31, 2011</b>
PY 2006 April 1, 2006 - March 31, 2007	<b>March 31, 2012</b>
PY 2007 April 1, 2007 - March 31, 2008	<b>March 31, 2013</b>
PY 2008 April 1, 2008 - March 31, 2009	<b>March 31, 2014</b>
PY 2009 April 1, 2009 - March 31, 2010	<b>March 31, 2015</b>
PY 2010 April 1, 2010 – March 31, 2011	<b>March 31, 2016</b>
PY 2011 April 1, 2011 – March 31, 2012	<b>March 31, 2017</b>
PY 2012 April 1, 2012 – March 31, 2013	<b>March 31, 2018</b>
PY 2013 April 1, 2013 – March 31, 2014	<b>March 31, 2019</b>
PY 2014 April 1, 2014 – March 31, 2015	<b>March 31, 2020</b>
PY 2015 April 1, 2015 – March 31, 2016	<b>March 31, 2021</b>

## ***SIGNIFICANT STAFF INVOLVEMENT***

### **(TEGL 17-05)**

Any assistance provided by staff beyond the informational activities described above regardless of the length of time involved in providing such assistance. Significant staff involvement includes a staff member's **assessment of a Participant's skills, education, or career objectives** in order to achieve any of the following:

1. Assist Participants in deciding on appropriate next steps in the search for employment, training, and related services, including job referral;
2. Assist Participants in assessing their personal barriers to employment; or
3. Assist Participants in accessing other related services necessary to enhance their employability and individual employment related needs.

## **Disallowed Cost**

Disallowed Cost is cost not allowed under the WIA regulations or costs incurred without proper documentation such missing corresponding activity code.

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**III. PROGRAM SERVICES**

**PURPOSE AND GOALS OF SC WORKS TRIDENT**

The purpose of SC Works Trident is to advance the well-being of the Trident Workforce area by assisting in the development and maintenance of a quality workforce and by serving as the focal point for local workforce development initiatives. This is to be accomplished through the co-location and integration of a broad range of job development and placement services, training, education, and supporting activities for job seekers, workers, and employers.

SC Works Trident System includes one comprehensive center and two satellite offices. SC Works Trident Centers will serve as the central point for all Trident Workforce Investment Board (TWIB) workforce development activities for the region. SC Works Trident has three centers, Berkeley, Charleston and Dorchester to provide oversight, training and support and is responsible for collecting and managing data for planning and reporting purposes. Additionally, each center will develop programs and services to support job seekers, business and industry, and economic development needs.

**PROGRAM GOALS**

**The Goals set for the SC Works Trident WIA Program PY2014 are as follows:**

- Total number served is projected to be a minimum of 1200 for adults and 350 for dislocated workers
- Number to receive training 35% of total served during PY2014 (Carry-In + Total New)

The breakdowns per QTR and for the Year are as follows and are projected numbers only:

<b>Customer Group</b>	<b>Carry-In</b>	<b>Q1 New</b>	<b>Q2 New</b>	<b>Q3 New</b>	<b>Q4 New</b>	<b>Total New PY'14</b>	<b>Total to be served for PY14</b>	<b># to Receive Training</b>
<b>Adults</b>	400	200	200	200	200	800	1200	420
<b>Dislocated Workers</b>	200	50	50	25	25	150	350	122

The Carry-In numbers are tentative and based on the Carry-In number at the beginning of a new program year. This is subject to change based on change request editing activity codes that may ultimately change the PY of exit. Should the Carry-In Numbers drop, the new enrollment numbers will increase in order to meet the overall goal of serving the minimum number stated above. The participation levels will include any active customers carried over from the previous program year. Active customers exclude those in follow-up that are exited prior to June 30, 2014. Workforce Specialists will not exceed a caseload of one hundred and ten (110). In the event the demand necessitates it, a waiting list will be established to ensure caseloads do not exceed the limit. The waiting list will be managed by the Workforce Development Director.

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**NOTE:** Customers are expected to complete training programs between 18-24 months after participation. **See Training Policy for Exceptions to this rule**

### **CASE MANAGEMENT PHILOSOPHY**

The TWIB bases the philosophy for case management on the idea that participants should be actively encouraged to pursue greater academic success, remain in school where necessary and appropriate, and obtain self-sufficient employment. Participants have strengths and resources as well as weaknesses and barriers that can and will be addressed through active case management.

The relationship between the case manager and the participant is a partnership where mutual agreement decides the outcomes. The participant should be actively involved in all phases of the process, including planning, decision-making, and problem solving.

Workforce Specialist will report to Eligibility/Workforce Specialist Supervisor or the Center Manager (Dorchester and Berkeley only).

Note: Case managers will not perform case management assistance to family members, nor close friends. Staffing patterns should be diverse and reflective of the participant base served.

### **CASE NOTES**

Case notes are the official documentation for audit and management purposes. "If it isn't documented, it did not happen"!

Case Notes are used throughout the delivery of WIA services.

Case notes should follow the BROCRIP model as outlined. The length of the case note is not important. The value of the content is important. Case notes should include information on missed appointments and attempts to contact. Case notes should include contacts with instructors, employers, etc. to follow progress in training or employment. For customers in training, case notes should document satisfactory progress, current grade point average, the reasons for extensions in training, etc.

**The subject of the case note should be meaningful. The subject should match the content of the case note. (Example: Transportation Problems to Training) and the content MUST include information that defines the activity.**

Case notes should support not duplicate information in the activity records and other SC WOS screens.

Do not name other participants/students in case notes. Do not cut and paste emails, letters etc. in case notes. A general summary of the email or letter will do.

**A case note should be entered every 30 days for all active WIA customers to show actual communication with customer or attempts at communicating with customers.**

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**Remember, Case Notes speaks for you as the Workforce Specialist in the absence of your presence.**

### **Case Notes on attempted contact:**

Case notes should include the different methods used to attempt contact, different times of the day for attempt and method of leaving message. A minimum of three attempts must be made, documents should include the date, telephone numbers called, time of day of attempt, method of leaving message and if letter sent, the address and date sent. **Subject:** “1<sup>st</sup> Attempt at Contact”, “2<sup>nd</sup> Attempt at Contact” and “3<sup>rd</sup> Attempt at Contact” should be used. An Example of case note: Called customer on 3/14/2011 at 9:00 AM on 554-1000 and left a message on voicemail asking customer to return my call.

### **Case note for Career Guidance /Planning:**

When performing career guidance/planning activity, case note **Subject:** “Career Guidance and Planning” should be used. The case note for Career Guidance/Planning must include a summary of the Career/Guidance/Planning session indicating the issues discussed and possible alternatives, next steps and further services as needed. Utilizing the BROCRIP model will assist with including relevant information. The BROCRIP Model is as follows:

B: Background information—checking to see if anything has changed in the customer’s life since enrollment or last communication regarding employment.

R: Reason for the meeting or communication. This should support the IEP developed and should related to employment.

O: Observations – Stick with facts and any information should relate back to how it may, could or will affect employment.

C: Content – summary of the meeting or communication.

R: Results – Outcome of the meeting or communication based on the reason for the meeting or communication. It should related and be relevant to employment.

I: Impressions – impressions of customer’s progress. Note if customer is on track, behind etc.

P: Plans – plans relevant to employment goal should include next step such as next meeting, assignments. This should be measureable, specific and attainable. Example update resume in SCWOS.

### **Supportive Services Case Note**

Supportive Services subject titles should include the type of supportive services, i.e. transportation supportive services should have a case note with the subject title “transportation” or training related supportive service. The case note content should include the demonstrated need for the supportive services. Entering training is not a demonstrated need nor automatically qualifies a customer to receive transportation assistance. ALL supportive services, according to the WIA regulations, must show a documented demonstrated need. This is a separate case note from career guidance or other services rendered on the same day.

### **Summary Case Note/Subject for Exiting**

At the end of the Intensive Services/Training Services period and no other additional services are expected other than supportive or follow-up services, the Case Manager will document SC WOS with a summary case note and indicate that the record/participant has been referred for follow-up services and ready for soft exit. **Subject:** “Transfer to Follow-up”

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Summary case note **must address** the documentation of employment (if applicable), date and source of documentation, and/or attainment of certificates, credentials, date attained, source of documentation, date of last activity. Employer Information should include Name, address and telephone number of Employer, contact person, customer's job title, start date and hourly wage.

### ***SUPPORTIVE SERVICES***

From time-to-time, it may become necessary to provide direct assistance to a participant to assist in the removal of a barrier to employment or training. The ability to make a supportive services payment on behalf of any WIA participant is based on the availability of WIA funds and made only after other sources have been sought. All supportive services payments issued on behalf of WIA Participants in the Trident Workforce Investment Area will be issued based on an **established and documented need**, identified as follows:

1. One that is identified during anytime of intensive or training services and placed on the Individual Employment Plan (IEP); or
2. One that is identified due to an emergency occurring after the individual became a WIA Participant

### **Signatures on documents are required**

**NOTE: CAUTION MUST BE EXERCISED HERE because supportive services assistance payments must not be made retroactive to the individual becoming a WIA Participant. Payments can only be made toward relief of situations after the individual becomes a WIA Participant. Supportive Services are NOT stand alone services and must be coupled with another activity like training.**

Customers are not automatically granted transportation assistance because of entering training. There still needs to be a documented need for supportive services.

Direct your written requests for extenuating circumstances to the Workforce Specialist Supervisor or Center Manager. Your request should include how customer will be able to support him or herself in the future.

See Supportive Services Policy and Procedures for more information.

### ***TRANSPORTATION ASSISTANCE***

The Job Access Reverse Commute (JARC) grant is to provide job access services to Workforce Investment Act (WIA) customers by utilizing vouchers for transportation assistance through the SC Works Trident System. **This grant will end June 30, 2015 or until all funds are utilized based on which comes first.** The targeted populations to be served through the JARC grant are adults' ages eighteen (18) and older residing in the rural or urban areas of Berkeley, Charleston and Dorchester counties.

Review Supportive Services Payment Requests for accuracy; ensure supporting documentation is attached, enter activity code in SCWOS first, then enter Payment Requests in TrackSource, and

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submit Supportive Services Payment Requests with supporting documentation to the WIA accountant with the Council of Governments for payment.

### **SC WOS REQUIREMENTS**

(SC WOS Procedures Manual)

The SC Works Online Services system, or SC WOS, is the State of South Carolina's data tracking system. Both individual Participants and Employers can access the system and utilize it for their own job seeking/job posting services. It is accessible for WIA Staff to manage and assist WIA/Trade participants. All WIA/Trade related program activities, services, referrals, etc., provided to participants **must be captured in the SC WOS System**.

### **SC WOS Change Notice Forms**

SC WOS Coordinator cannot make changes to a record once it has soft exited. An Activity Record Change "ARC" form is required to make changes to the record. This is the long form.

**No changes can be made to funding streams or providers in an activity once it has been saved (hit next). A correction is to void incorrect activity and create new activity with correct information.**

### **CORE / INFORMATIONAL SERVICES**

(TEGL 17-05)

**Self-Service** and **informational activities** are those activities that are made available and accessible to the public; that are designed to inform and educate individuals about the labor market, their employment strengths and weaknesses, and the range of services appropriate to an individual's situation. These services do not require **significant staff involvement** with the individual in terms of resources or time.

Core Services (Universal Access):

Cores Services available to customers:

1. Employment statistics information including job vacancy listings, job skill requirements for job listings, and information on demand occupations;
2. Performance information on eligible training providers;
3. Performance information on the local SC Works delivery system;
4. Information on and referral to supportive services;
5. Information regarding filing for Unemployment Compensation;
6. Assistance in establishing eligibility for Welfare to Work activities and for other training and education programs;
7. Resource room usage;
8. Internet browsing (job information and training searches);
9. Workshops and job clubs

***PROCESSES FOR ELIGIBILITY, ENROLLMENT INTENSIVE SERVICES AND TRAINING***

***ELIGIBILITY DETERMINATION PROCESS***

(TEGL 17-05)

WIA Staff are responsible for determination of program eligibility/ineligibility for the WIA Program via documentation of a SC WOS Participation Screen. A Participant is an individual who is determined eligible to participate in the program and receives a service, as noted above, funded by the program in either a physical location (SC Works Center or Affiliate Site) or remotely through electronic technologies. Following a determination of eligibility, participation in a program commences when the individual begins receiving a service funded by the program. This phrase has the same meaning as the “date of participation” (represents the first day, following a determination of eligibility, that the individual begins receiving a service funded by the program) used in some of the measures. In accordance with Section 101(34) of the Workforce Investment Act, receipt of post-employment follow-up services designed to ensure job retention, wage gains, and career progress does not result in the commencement of a participation period.

**Program Eligibility Criteria**

- Is 18 years of age or older;
- If male, applicants shall have met the Selective Service Act registration requirements. Males born after 1959 and over the age of 17 shall register with the selective service system; these forms shall be made available at SC Works Centers. (Refer to the SC WOS Procedures Manual, section 7, page 5 for information concerning males over age 26 who failed to register with Selective Service.);
- Is a US citizen or national or lawfully admitted permanent resident alien, lawfully admitted refugee or parolee, or other individual authorized by the Attorney General to work in the United States;
- Has received core services but was unable to obtain and/or retain employment that allows for self-sufficiency through the provision of such core services; and
- Has been determined to be in need of intensive services in order to obtain/retain self-sufficient employment.

**Eligibility Process (WIA Workforce Specialist/Eligibility Specialist Staff)**

Eligibility determination for WIA Intensive Services will be conducted by WIA Eligibility Specialists or other designated staff members.

**WIA Information Session**

All potential participants will be required to attend a WIA Information Session at a SC Works Center of their choosing. At the conclusion of the session, each individual will be provided a Welcome Packet to be returned at time of their eligibility appointment, be requested to complete the SCOIS Assessment, and complete the next steps outlined in the Welcome Packet.

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### Eligibility

Individuals interested in receiving services beyond the core level, will be required to complete eligibility determination. These individuals will bring a completed Welcome Packet and their SCOIS results to their eligibility determination appointment. The WIA Eligibility Specialist or designated staff will be responsible for completing program eligibility, collection of eligibility documents, and data entry into SCWOS. A comprehensive list of eligibility duties is below:

- Conduct WIA informational sessions with prospective participants prior to eligibility appointments.
- Staff will confirm eligibility appointments at least 48 hours prior to appointment time.
- Conduct Eligibility and ensure appropriate verification documents are received according to State Instruction Letter 12-8 Change 1—See State Instruction Letter on the <http://intranet.toscc.org/> for more details
- Review Rights handout with customer. Customer and staff sign form. Customer gets a copy and original goes in hard file.
- Review Release of Information form. Customer and staff sign form. Copy goes to customer and original goes in hard file.
- Review Release and Indemnification form. Customer and staff sign form. Copy goes to customer and original goes in the hard file.
- Complete WIA application and print. Customer and staff sign application. Customer gets a copy and original goes in file
- Create hard file with all section headers (using Trident area headers from <http://intranet.toscc.org/>) and will complete section 1 with all supporting documents in correct file order
- Eligibility Specialist will populate eligibility log and SCWOS to document where participants are in process
- Schedule TABE Assessment with appropriate Adult Education for customers that are determined eligible (TABE Assessments will be scheduled in the ETO system)
- Customers that meet the minimum score of 8.0 in reading and 6.0 in math as approved by the TWIB files will be sent to the WIA Workforce Specialist Supervisor for assignment to a Workforce Specialist/Case manager for the Charleston Center and to Center Managers for Berkeley and Dorchester.
- Customers that do not meet the minimum scores will be referred to Adult Education for further services to assist them with meeting the score requirement and the Department of Employment and Workforce for employment services.

**Ensure Veterans are given priority in Eligibility appointments: Please review the Priority of Services for Veterans policy for further details. See <http://intranet.toscc.org/> for full Instruction Letter and policy.**

Paper applications may be used in the event of an emergency such as SC WOS system is down or the electricity or internet service is temporary interrupted. Approval to use paper applications must come from the Workforce Development Director or designee. Application must be entered in SC WOS within 15 days. Partial save of an application may be done if not all eligibility documents are provided during the application process.

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There cannot be more than 90 days between the eligibility determination date and the WIA participation date. If such time passes, the application will close and a new application must be taken. If it becomes necessary to complete a new application, the WIA applicant Rights handout and Release of Information should be reviewed and signed by the applicant and certifier. If updates to the application are necessary within the 90-day period, the certifier may update the WIA Application in SC WOS as long as the individual has not been enrolled in WIA. Once enrollment has occurred, all eligibility items become locked down as display items only, and a Change Request must be submitted to the Project Officer to make any necessary corrections.

### ***INTAKE & ENROLLMENT PROCESS (Workforces Specialist/Case Managers)***

Individuals determined eligible and remain interested in the WIA program will be asked to complete the following intake process for intensive services. What makes a person suitable for intensive services? Willing and wanting to work a full time job!

#### **Enrollment Point**

- All individuals who have met the minimum enrollment scores on the TABE Assessment will be scheduled an Enrollment Appointment, which is the same as the initial face-to-face appointment. This is also when the first intensive level activity code is created. If an exemption from TABE has been granted by the Executive Director of the Berkeley Charleston Dorchester Council of Governments, the exemption letter should be placed in the hard file where the TABE scores would normally go.
- At the enrollment appointment:
  - A quick review of WIA Services will be given and if customer is still interested in the program, Participation in SC WOS will be created using a 202 activity code. A case note must be entered in SCWOS that includes a summary of the Career Guidance/Planning discussion. **Subject:** "Enrollment"
  - After enrollment, the Objective Assessment Summary (OAS) is completed. It should be printed and signed by WFS and the customer. Place the signed document in the hard file.
  - If it is a group enrollment utilizing the "Barrier Assessment", this document should be signed by the WFS and customer. Signed document should be placed in the hard file and a 203 entered in SCWOS.
  - Next, the Individual Employment Plan (IEP) will be created. It should be printed and signed by the WFS and the customer. Place the signed document in the hard file.
  - 
  - A 203 activity code will be entered for the OAS and 205 activity code will be entered for the IEP.

**NOTE: On the date of enrollment, the customer should have three (3) activity codes entered in their record, which is a 202, a 203 and a 205. A case note for the 202 activity code on the discussion and review of WIA services and enrollment should also be entered.**

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### **INTENSIVE SERVICES PROCESS**

Intensive services are available to eligible individuals who are unemployed or under-employed and are unable to obtain self-sufficient employment through core services and who have been determined to be in need of services that are more intensive in order to obtain self-sufficient employment. Self-sufficient employment for adults is defined as employment in which individuals accrue hourly wages or annual earnings that equate to 150% of the Metro Level for the Lower Living Standard Income Level (LLSIL) applied uniformly across the Trident Region.

Intensive services must be recorded and tracked in SC Works Online Services (SC WOS). Services include eligibility determination, activities, case notes, assessments and more. Services provided by partner programs may also be reported in SC WOS as partner-funded activities. Customers may avoid exiting from WIA while they are continuing to prepare for employment through partner-funded services, when activity codes are used. **Partner-funded services/activities recorded in SC WOS must be included in the participant's IEP.** The partner agency providing the service must be noted on the applicable activity record in SC WOS.

Intensive service activities that may be provided during participation in the WIA program and the related numeric codes in SC WOS are described in the Adult/DW Activity Code Definitions and may be accessed from the Staff Online Resources screen in SC WOS.

Note: If a customer is not enrolled in WIA, the case **MUST** be staffed and approved by supervisor and a case note entered into SCWOS as to why the customer is not being enrolled. List any referrals given or made on behalf of the customer. **Subject:** "Not Enrolled in WIA".

### **Intensive Services may include:**

#### **Assessment Activities:**

- Completion of the Objective Assessment Survey
- Review of resume, work history, skills, and abilities
- Conduct interest surveys or inventories
- Conducting Criminal Background Checks (as appropriate)
- Drug Screen Assessments (as appropriate)
- WorkKeys Assessment\*
- Other activities to assess an individual's readiness for the workforce

#### **Pre-Employment Activities**

- Development of the Individual Employment Plan
- Resume/Cover Letter Assistance
- Mock Interviews
- Individual or Group Career Counseling/Coaching
- Referral to Core Workshops
- Job Search and Placement Assistance
- Job Development Activities (working with employers and job seekers to discover new employment opportunities)
- Job Clubs
- Out-of-Area Job Search Assistance

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- Literacy Activities – related to basic workforce readiness
- Supportive Services – to overcome barriers to employment
- Short-Term Pre-Vocational Assistance - development of learning skills, communications skills, interviewing skills, punctuality, personal maintenance skills, and professional conduct to prepare individuals for unsubsidized employment or training.
- Referral to partner services or activities as appropriate and outlined in IEP
- Other activities to prepare an individual for employment

**\*Note: Refer Participants whose WorkKeys® scores are less than four (<4) for remediation. Customers are allowed to test twice before referral to remediation.**

### **Step 1 of the Intensive Service Process**

#### **INDIVIDUAL EMPLOYMENT PLAN**

The Individual Employment Plan (IEP) is an ongoing strategy jointly developed by the participant and their WFS. It is a living document, and should be updated to reflect changes in the course of services to be provided. At a minimum, all IEP's should contain an:

- Employment Goal – this could be short-, intermediate-, or long-term in length, and should contain the type of employment being sought (truck driver, nurse aid, etc.)
- Objective(s) – steps the participant must complete in order to reach or achieve their goal(s) (update resume, attend networking workshop, apply for 3-5 jobs per week, etc).
- If supportive services are needed, it should be included in the IEP. See Supportive Service Policy <http://intranet.toscc.org/>.

Additional goals and objectives may be needed throughout the course of intensive and training services. When new goals or objectives are identified, the IEP must be updated, signed, and retained in the participant's hard file. Examples of additional goals include:

- Training Services
- Overcoming barriers to employment
- Work Readiness
- Education (HSD/GED)

Note: When a goal is created, WFS should list at least one objective describing how the individual will accomplish this goal. The objective should be as descriptive as necessary to provide the participant a clear understanding how he/she will complete the goal, and include specific resources or information the participant will need.

IEP Process:

IEP should be created with the customer

IEP should include all goals such as Employment, Education or Training (including OJT)

IEP should include objectives on how each goal will be met. The objectives are steps the customer should take in order to reach the goal or goals listed on the IEP.

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### **Step 2 of the Intensive Service Process**

After the initial IEP has been created, the customer should be scheduled for the WorkKeys Assessments and given the next steps to follow in order to reach towards goal (s) on the IEP. Background checks may be discussed and submitted at this time as well.

**An enrollment case note should be created. See Case Note section of this document.**

### **STEP 3 OF THE INTENSIVE SERVICE PROCESS:**

WFS and customer will continue to work on IEP goals until customer's case is ready to close.

### ***TRAINING SERVICES PROCESS***

#### **Training Services**

Workforce Specialist should use the IEP and any other assessments such as WorkKeys and SCOIS in determining training needs. Since the goal of the program is employment, training is not always necessary to reach this goal. If it is necessary, it should be to provide training in an occupational field in-demand that leads to employment. Customers must not be enrolled in four-year degree programs unless the WIA funded program can be completed within 24 months. If extenuating circumstances exist, the BCDCOG Executive Director can make an exception based on the need of the customer.

**Since the training cap is a life-time cap, if customer has been enrolled in WIA previously, the old records should be reviewed to determine if training was provided before and if so, the amount. If the customer received WIA Training funds previously, the total amount of training should be subtracted from the training cap.**

**\*Background Checks and Drug Screens (when appropriate i.e. required by training provider) should be done prior to training approval. Activity codes must be entered in SCWOS first, and then vouchers entered into TrackSource. Activity Codes and voucher dates should match.**

#### **Additional Criteria to Consider in determining Training Needs:**

1. Is there suitable employment in the customers' current occupational field?
  - Suitable employment is a job (in your commuting area) for which you need a similar or higher skill level and which you earn at least 80% of the wages of previous employment.
2. Would the customer benefit from appropriate training to help enhance existing skills or does the customer need to gain marketable skills?
  - Upon satisfactory completion of the training, you will be job-ready and marketable
3. Is the training in an in-demand occupational field?
  - Training must be for a profession in a projected growth industry to maximize chances of employment upon satisfactory completion of the training
4. Is the training cost within the training cap set by the Trident Workforce Investment Board?

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5. Is the customer qualified to undertake and complete the training?
  - including having adequate financial and transportation resources to sustain themselves throughout the entire duration of training and be able to complete within certain program time limitations
  - training must match the personal qualifications, educational background, and work experience of customer
  
6. Is the training suitable for customer based on exiting aptitude and skill level and available at a **reasonable** cost? Training must be available at a reasonable cost when compared to other providers and/or similar training programs.

### **Types of Training Services**

WIA provides training services to customers that may include:

- Occupational skills training
- On the job training;
- Workplace training and cooperative education programs
- Skill upgrading and retraining;
- Job readiness training;
- Adult education and literacy activities in combination with training; and
- Customized training

### **Training Approval and continuation of training Process:**

- 1) Customers must complete the Training Information Packet and submit it along with other required documents to their assigned Workforce Specialist.
- 2) Workforce Specialist will review and submit training packet to their supervisor for approval
- 3) The supervisor will review the packet to determine the need and suitability for training.
- 4) If training is approved, Workforce Specialist will enter the appropriate training activity code in SCWOS, and the training budget/voucher into TrackSource the day that the customer starts the approved training course/program.
- 5) Workforce Specialist will print out the budget and ensure the budget is signed by the training provider, Participant, and WFS
- 6) Workforce Specialist will enter the voucher for payment into TrackSource.
- 7) The Case Manager will give the voucher to the Participant to register for his/her class. Customer and workforce specialist should sign voucher. The training provider will submit an invoice along with voucher to finance for payment.
- 8) Workforce Specialist must confirm customer actually started training. Therefore, alerts should be set in SCWOS to remind staff to confirm customer started training. The training end date should be the last day the customer attends the training.
- 9) When to request an exception if the time frame of training will exceed the 24 months: WFS should submit a request no later than month 20 of training with as much details as possible explaining why extension is needed. Even if the customer will have started the last class or is already in the last class, submit the request if the customer will not complete the entire training program in 24 months. Do not take action until you have received approval!

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WFS will assure the \$6,000 ITA limitation is not exceeded. WFS should ensure that the training is on the Eligible Training Provider (ETP) List prior to submitting for approval. It is required for Training program to be on the ETP list in order for WIA to cover the cost of the training.

If the course does not appear, that means it is not an approved training!

A monthly case note must be entered on all customers in training. Case Note **Subject:** "Training Progress". See Case notes for further details on content of note.

### **Satisfactory Progress in Training is defined as:**

#### Remedial Training

- Participant is tested at least every six months;
- Participant shows improvement (gains evaluated on an individual basis);
- Participant abides by the attendance policy of the training provider.

#### Occupational Training

- If participant is in a training that produces grade, participant attains/maintains a cumulative grade point average of 2.0 or higher or maintain a passing grade as determined by the training provider
- Participant abides by the attendance policy of the training provider. See attached Training Agreement form.
- Staff must ensure that participants are provided the satisfactory progress and attendance requirements prior to the start of training

### ***ON-THE-JOB TRAINING SERVICES***

**OJT Contracts are developed by the Business Development Coordinator. See OJT policy for further details.**

### ***CASE CLOSURE***

Case Closure happens when no other services are planned for the Participant and s/he is intended to soft exit. Case Closure is required to be completed on all WIA participants that are intended to soft exit. This is completed by clicking on the "create closure" tab at the bottom of the customer's record in SC Works Online Services system and completing all applicable screens.

Workforce Specialist may create a case closure under the following circumstances:

- An individual has entered self-sufficient employment for more than 30 days and no other activities have been planned, **OR**
- An individual has failed to comply with the terms of the Service Agreement, has been a no call/no show for more than three appointments or has received the third WIA Warn Notice and no other activities are planned; **OR**

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- An individual has not engaged in any contact with their assigned WIA Workforce Specialist for more than 60 days and a minimum of three attempts have been made by the WFS to contact the customer and no other activities are planned.

### **Each of the circumstances listed above must be documented in a case note.**

Upon creating the case closure, Workforce Specialist will ensure the file contains all necessary documentation to justify activities recorded in SC Works Online Services and in Tracsourc. The WFS will ensure that the IEP and all activities are closed, all activities are recorded in SCWOS, and all vouchers etc. are signed by both the WFS and participants. If the case is open due to WP activities only, the case should be recorded on the retention spreadsheet. If the case has soft exited SCWOS, the case should be recorded on the follow up spreadsheet. The WFS will ensure that all information on the retention and follow up spreadsheet is recorded correctly. The file will then be transferred to the Follow-Up/Retention unit along with the appropriate spreadsheet.

### FOLLOW-UP/RETENTION

Once all scheduled services have been performed and the participant has either entered employment or selects to no longer actively participate in the WIA program, the individual will exit from the program and enter the follow-up period. Lasting for three (3) quarters after exit, follow-up allows for the collection of programmatic outcomes (entered employment, retention, and average wage), while also providing additional opportunities to make appropriate referrals for services to achieve a successful outcome.

### **Follow-Up/RETENTION FILE Management**

Workforce Specialist will prepare files for Follow-Up/Retention and storage once all planned services have been completed and the participant is employed or selected to withdraw from the program.

To move a file to follow-up/retention the **Workforce Specialist** will:

- Close all open activities
- Close the IEP
- Create a case note **Subject:** "Transfer to Follow-Up", to indicate that it is his/her intention to transfer the file to follow-up/retention, and document the reason for the transfer (employment or failed to participate) and any additional details that would be helpful to the Follow-Up/Retention staff.
- Create case closure if case has not soft exited
- Review/Update the participant's hard file including ledgers, vouchers, outcome documents (certificates, degrees, credentials, etc.), and other documents
- Ensure all items requiring signatures are obtained. If missing a signature (s) and cannot locate customer to obtain signature, a detailed case note should be entered to include the attempts made to obtain the customer's signature.
- Review/Update TrackSource to ensure budgets, supportive services, or other expenditures match those recorded in the hard file ledgers and SC Works.

Once the file is prepared for transfer, the Workforce Specialist will generate a transfer sheet by using either the Follow-Up (those that have entered universal exit/soft exit) or Retention (those waiting universal exit/soft exit, but have achieved case closure with WIA EXAMPLE: WIA case

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closed but WP or TAA case open) Transfer Sheets. Files will then be staffed with the Workforce Specialist's supervisor for final review. Once a final review has been completed, and in accordance with the Follow-Up/Retention Transfer Schedule, files will be transferred to WIA staff responsible for follow-up/retention at SC Works Charleston along with the appropriate spreadsheet.

The **Office Manager** will be responsible for the following activities when receiving a WIA file:

1. Ensure file has a case closure in SC Works Online Services
2. Transfer file from the case manager's name to the Office Manager's name
3. Place reviewed file in file cabinet until file soft exits
4. Refer to core services, if necessary
5. The Office Manager will keep a master excel spreadsheet of all files turned in
6. The Master spreadsheet will be updated from the spreadsheet the Workforce Specialist sends to the Office Manager

### **SOFT EXITED FILES**

Soft Exited (closed) File Management (cases that have soft exited the system)

These files will be stored at the SC Works Charleston Center in the storage room for no less than 5 years. The inventory control log will be updated and maintained.

### **FOLLOW-UP REPORTS**

SC Works Online Services Follow-Up Reports

- Attempt to contact participant up to 5 times – exhausting all known contact methods (phone, email, letter);
- Two weeks after letter is sent with no response, the participant will be labeled as "Unable to locate" and the appropriate screens in SC Works Online Services will be updated;
- If an individual is located all information gathered (including but not limited to employer, wage information, credentials earned) will be recorded in the appropriate screens in SC WOS.

### **ADDITIONAL INFORMATION**

#### **COMMON MEASURES**

**Adult/Dislocated Worker Performance Measures include:**

**Information subject to change once Performance goals are distributed for PY2014**

**Adult Entered Employment = Must meet 66.7%**

Verified by wage records and supplemental data sources

Methodology: "Of those who are not employed at the date of participation: the number of adult participants who are employed in the 1st quarter after the exit quarter **divided** by the number of adult participants who exit during the quarter."

**Adult Employment Retention = Must meet 86.0%**

Verified by wage records and supplemental data sources

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Methodology: "Of those who are employed in the 1st quarter after the exit quarter: the number of adult participants who are employed in both the 2nd and 3rd quarters after the exit quarter **divided** by the number of adult participants who exit during the quarter."

### **Adult Average Six-Month Earnings = Must meet \$11,054**

Verified by wage records and supplemental data sources

Methodology: "Of those adult participants who are employed in the 1st, 2nd, **and** 3rd quarters after the exit quarter: total earnings in the 2<sup>nd</sup> quarter **plus** total earnings in the 3rd quarter after the exit quarter **divided** by the number of adult participants who exited during the quarter."

### **Dislocated Worker Entered Employment = Must meet 75.5%**

Verified by wage records and supplemental data sources

Methodology: "Of those who are not employed at the date of participation: the number of dislocated worker participants who are employed in the 1st quarter after the exit quarter **divided** by the number of dislocated worker participants who exit during the quarter."

### **Dislocated Worker Employment Retention = Must meet 90.1%**

Verified by wage records and supplemental data sources

Methodology: "Of those who are employed in the 1st quarter after the exit quarter: the number of dislocated worker participants who are employed in both the 2nd and 3rd quarters after the exit quarter **divided** by the number of dislocated worker participants who exit during the quarter."

### **Dislocated Worker Average Six-Month Earnings = Must meet \$17,800**

Verified by wage records and supplemental data sources

Methodology: "Of those dislocated worker participants who are employed in the 1st, 2nd, **and** 3rd quarters after the exit quarter: total earnings in the 2nd quarter **plus** total earnings in the 3rd quarter after the exit quarter **divided** by the number of dislocated worker participants who exited during the quarter."

## ***EXCLUSIONS FROM PERFORMANCE***

A Participant in any one of the following categories (either at the time of exit or during the 1st, 2nd, or 3rd quarter measurement period following the exit quarter) may be excluded from common measures provided there is supporting documentation in the file:

1. Institutionalized (includes jail time over 90 days/incarceration)
2. Health/Medical
3. Family Care
4. Deceased
5. Reserve Forces Called to Active Duty
6. Relocated to a Mandated Program

If any of these reasons apply to participants in the program, the WIA Program Director may request a Hard Exit be created in SC WOS so that the individual will not count towards performance. Hard Exit Request and documentation for the hard exit reason must be submitted to the LSWIA SC WOS Coordinator for processing in accordance with PY06-005, Revision #1.

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### **PROGRAM OUTCOMES**

#### **System Soft Exit**

The SC Works Online System (SC WOS) will create a system soft exit when there are no activities or services provided to a participant for more than 90-days.

#### **Exclusions from Performance**

Customers in the following categories will be excluded from the performance measures.

Documentation must be obtained and maintained in the hard file.

1. **Institutionalized** - The customer is residing in an institution or facility providing 24 hour support, such as a prison or hospital and is expected to remain in that situation for at least 90 days. Individuals with disabilities (defined by 29 CFR 37.4) residing in institutions, nursing homes, or other residential environments cannot be excluded under this reason. This reason does not apply to the Responsible Reintegration of Youthful Offenders program.
2. **Health/medical or Family Care** - The customer is receiving medical treatment or providing care for a family member that precludes entry into unsubsidized employment or continues participation in the program. This does not include temporary conditions or situations expected to last for less than 90 days.
3. **Deceased**
4. **Reservist Called to Active Duty** - The customer is a reservist who is called to active duty for at least 90 days.
5. **Relocated to a Mandated Residential Program** - For youth customers only, the customer is in the foster care system or any other mandated residential program and has moved from the areas as part of such a program.

### **RAPID RESPONSE (RR)**

- WIA will make all efforts to provide businesses the opportunity to receive WIA eligibility and enrollment services on-site (at their location) during mass layoffs or downsizing events. In the event an employer is not able to accommodate on-site RR activities, those services may be provided at another location or within a SC Works Center. This will allow more individuals the opportunity to participate in the WIA program and increase the region's take-up rate during large layoffs. Staff providing Rapid Response eligibility and enrollment services will use the following process: Provide a Rapid Response WIA Information Session
- Provide Customers with "Rapid Response WIA Welcome Packet"
- WIA Staff will complete eligibility application in SCWOS – reviewing, copying, and documenting all necessary items, obtain signatures, and create the hard file.
- RR customers may self-attest education and income. See Instruction Letter 12-8 Change 1. <http://intranet.toscc.org/>.
- "Selective Service Status Request" letter is provided in the event customer did not register for selective services or information cannot be verified. If a partial application is taken due to Selective Service, that file will be staffed with a supervisor or Center Manager of the location in which the potential participant wishes to be served. The supervisor, Center Manager, or their designee will then

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be responsible for completing the eligibility and enrollment process with the customer.

- SCOIS & TABE assessments will be waived for RR customers at eligibility. Assigned WFS will have the discursion to use these or other assessments during Intensive Services.

### **If customer will be enrolled on date of Eligibility:**

- Customer will complete “Rapid Response Barrier Assessment Questionnaire”. Staff completing the eligibility will review document with customer. A 203 activity code will be entered in SCWOS to create WIA participation. The Enrollment &
- The WIA staff will create an IEP and enter a 205 activity code in SCWOS.
- Case Note with **Subject:** “Next Step Case Note/Enrollment” will be created to document that staff reviewed the questionnaire with the customer, created a basic IEP, but will be updated once further assessments have been gathered, identifying the customers next step and indicating that customer will be contacted by their assigned WFS within 2 week time frame if not sooner.
- The later Assigned WFS is responsible for completing the Objective Assessment and IEP.

Items Needed to facilitate on-site eligibilities and enrollments - file folders, file section dividers and forms, grievance policies for each of the 3 centers, pens, & extra copies of the welcome packet, waivers, WARN letters, and all other attached forms used for assessment, self-attestation and eligibility documentation. Computer, Internet, printer, and copier access is required in order to facilitate.

### **DATA VALIDATION**

Trident will utilize SC Department of Employment and Workforce Data Validation guide and instructions to conduct data validation for file reviews.

### **MONITORING**

#### ***Equal Opportunity***

The following Federal TAG Line is required on all WIA Funded Publications, Advertisements, and ALL correspondence, regardless of method of correspondence (i.e., emails, written letters, etc.) as approved by the BCDCOG:

“An equal opportunity employer/program. Auxiliary aids and services are available to individuals with disabilities upon request. TTY Relay South Carolina by dialing 711.”

Trident Workforce Investment Board Programmatic Monitoring Staff will conduct no less than one on-site monitoring visit per program year. This includes monitoring for accessibility access. A monthly hard file review will be done with a minimum of five files per program. Quarterly EO monitoring will be conducted as well to ensure accessible equipment is in working condition and no changes have been made. Additionally, continuous ongoing desktop review of participant

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data in the SC WOS, State Department of Employment and Workforce issued reports, and random review of Participant files will be conducted throughout the program year.

Monitoring is conducted by observing orientations to assure all facets of the program are presented, Ad Hoc reports are reviewed for errors and inconsistencies and the statement of work reviewed and compared to current program for consistency and performance. Desk top and hard files review are conducted for data validation purposes using the same data validation of SCDEW and for consistency with the statement of work. Customer Service is review for delivery of service in customer friendly environment, updated information and delivered in a timely manner.

Financial Monitoring will conducted by the finance department of the Berkeley Charleston Dorchester Council of Governments to include invoice validations of all sub-recipients' financial systems, including an Indirect Cost Test to determine if service directly benefited participants should be met for costs to be charged to the WIA cost objective/category. Documentation of such charges shall be maintained to provide proof of the validity of the allocation.

### ***TRANSFER REQUESTS***

#### **In-house Case Transfers**

Written approval submitted and signed by supervisor documenting reason for case transfer. WFS need to enter a case note. Notice must be sent to customer of reason for file transfer.

Supervisor must review hard file for accuracy before re-assignment. This process should be done within one week of letter being sent to customer.

Case note entered by new WFS acknowledging receipt of file and date of transfer. The WFS whom is receiving file must contact customer within 5 business days of receiving file.

#### **Out-of-state Case Transfers**

WIA cases cannot transfer from another state. If a customer is coming from another state, they will follow the directions of a new customer applying for the WIA program.

### **TRANSFERS FROM REGION TO REGION**

Please inform customers that Transfers are not guaranteed.

#### **Customers transferring from the Trident region to another region within the State:**

- Workforce Specialist will submit a full copy of the hard file to the Project Officer
- Workforce Specialist will make sure all activities and plan are closed
- Workforce Specialist will enter a case note **Subject:** "File Transfer Request". Include in case note updated contact information, new address and reason for transfer request. Please inform customers that transfers are not guaranteed.
- Workforce Specialist will update address information in SC WOS under the "personal" tab.
- The Project Officer will send a transfer request on behalf of the customer to the other region
- Once notification is received regarding approving or declining of the transfer, the Workforce Specialist will be notified of the results.

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- If the transfer is accepted, the Workforce Specialist will send hard file for storage at the SC Works Charleston Center because no further work or follow-up is required on this file.
- If the transfer is denied, the Workforce Specialist will contact customer and inform customer of request results. When a transfer is denied, the case manager will continue to provide services to customer. This is because the customer will continue to count in Trident's performance measures. If services requested involve utilizing WIA funds, an approval from the WIA Director is required.
- Plan will need to be re-opened and amended if transfer is denied
- Workforce Specialist will need to enter a case note regarding the outcome of transfer request and case notes should outline next step for customer if transfer was denied.

### **Customers transferring from another Region to Trident:**

Please inform customers that Transfers are not guaranteed. Customers will need to be directed to their current case manager and follow the procedures in their current region for file transfer.

These are the guidelines and protocols for WIA staff to follow during program year 2014. Amendments or changes to this document may not be made without prior approval from the Executive Committee or Trident Workforce Investment Board.