SECTION ONE

YOUTH SERVICES UNDER THE WORKFORCE INVESTMENT ACT

I ................................................................. WIA BACKGROUND
I-A ................................................................. PWC INTRODUCTION
I-B .................. THE ROLE OF THE YOUTH INITIATIVES COUNCIL
I-C .................................................... WORKPLACE SKILLS STANDARDS
BACKGROUND

The Workforce Investment Act (WIA) of 1998 was signed by President Bill Clinton on August 7, 1998. The act reforms federal job training programs and creates a new, comprehensive workforce investment system that is customer-focused and helps people access the tools they need to manage their careers through information and high quality services.

PURPOSE

The purpose of WIA is to improve the quality of the workforce by providing workforce investment activities through statewide and local workforce investment systems and increasing the employment opportunities, employee retention, and earnings of participants.

PRINCIPLES OF OPERATION

WIA embodies seven key principles to support its purpose. By following the seven key principles, Phoenix Workforce Connection has designed a program that is comprehensive and accessible for all customers. The seven key principles are listed below with definitions for the WIA system, which includes adult and youth populations:

**Streamlining services** through better integration at the street level in the One-Stop Delivery System. Programs and providers will co-locate, coordinate and integrate activities and information, so that the system as a whole is coherent and accessible for individuals and businesses alike.

**Empowering individuals** in several ways. First, eligible adults are given financial power to use Individual Training Accounts (ITA) at qualified institutions. These ITA’s supplement financial aid already available through other sources, or, if no other financial aid is available, they may pay for all the costs of training. Second, individuals are empowered with greater levels of information and guidance, through a system of consumer reports providing key information on the performance outcomes of training and education providers. Third, individuals are empowered through the advice, guidance, and support available through the One-Stop System, and the activities of One-Stop Partners.

**Universal access.** Any citizen will have access to the One-Stop System and to core employment-related services. Information about job vacancies, career options, student financial aid, relevant employment trends, and instruction on how to conduct a job search, write a resume, or interview with an employer is available to any job seeker in the U.S., or anyone who wants to advance his or her career.
Increased accountability. The goal of the WIA is to increase employment, retention, and earnings of participants, and in doing so, improve the quality of the workforce to sustain economic growth, enhance productivity and competitiveness, and reduce welfare dependency. Consistent with this goal, WIA identifies core indicators of performance, which state and local entities managing the workforce investment system must meet or suffer sanctions. However, state and local entities exceeding the performance levels can receive incentive funds. Training Providers and their programs also have to demonstrate successful performance to remain eligible to receive funds under WIA. Participants, with their ITA’s have the opportunity to make training choices based on program outcomes. To survive in the market, training providers must make accountability for performance and customer satisfaction a top priority.

Strong role for local workforce investment boards and the private sector, with local, business-led boards acting as boards of directors, focusing on strategic planning, policy development and oversight of the local workforce investment system. Business and labor have an immediate and direct stake in the quality of workforce investment system. Their active involvement is critical to the provision of essential data on what skills are in demand, what jobs are available, what career fields are expanding, and the identification and development of programs that best meet local employer needs.

State and local flexibility. States and localities have increased flexibility, with significant authority reserved for the Governor and chief elected officials, to build on existing reforms in order to implement innovative and comprehensive workforce investment systems tailored to meet the particular needs of local and regional labor markets.

Improved youth programs linked more closely to local labor market needs and community youth programs include activities that promote youth development and citizenship, such as leadership targeted opportunities for youth living in high poverty areas.

BACKGROUND

The Workforce Investment Act (WIA) introduced seven key principles to help states and local partners implement reforms to the workforce investment system. The seventh key principle pertains directly to youth programs:

**Improved youth programs** linked more closely to local labor market needs and community youth programs including activities that promote youth development and citizenship, such as leadership targeted opportunities for youth living in high poverty areas.

PHOENIX WORKFORCE CONNECTION

There are fifteen local workforce areas within the State of Arizona. The statewide system known as Arizona Workforce Connections (AWC) is overseen by the Governor’s Council on Workforce Policy (GCWP). AWC is the “brand” adopted by the GCWP for the statewide system. The Phoenix Workforce Connection (PWC) is the City of Phoenix local workforce area, which is an affiliate of AWC.

The PWC Board members are appointed by the local chief elected official(s). The majority of PWC Board members are business community representatives with optimum policy making authority. The remaining PWC Board members are comprised of educational organizations, labor organizations, economic development agencies, community based organizations, and One Stop program partner representatives.

The PWC Board Mission and Vision Statement are as follows:

**Mission:** To provide workforce solutions to businesses and individuals.

**Vision:** Phoenix Workforce Connection will become a high value network of choice for building a workforce to keep business competitive and sustain economic growth.

The PWC Board in partnership with the local chief elected official(s) and the PWC Youth Initiatives Committee (YIC) conducts oversight with respect to local youth programs and youth program activities authorized under WIA.

The PWC Youth Program Vision Statement is:

Phoenix Workforce Connection Youth Programs will become a preferred source for youth for education, training, and leadership.
WIA youth programs include the following program operations and services:

1) The provision of long-term, intensive services with 12 months of follow up offering sustained support over an extended period of time.
2) An increased focus on education to recognize the more stringent graduation requirements, and the demand for youth to obtain diploma and credentials to compete in today's labor market.
3) Strong local business involvement to promote a centralized focus on the world of work.
4) A focus on youth development activities and adult mentoring to cultivate positive peer support and connections with caring adults.

WIA Public Law (P.L.) Section 129, *Use of Funds for Youth Activities*, identifies the specific purposes for the funding of Youth Programs. The provision of these services and activities may be leveraged by establishing partnerships and linkages with other community programs under the umbrella of a One Stop Career Center system for Youth.

The WIA Youth Program Design and Program Elements (P.L. Section 129 (c) (1), (2)), include the ten service elements mandated in WIA plus the one local performance element (job placement and retention). The PWC Youth Program eleven service elements are:

1) Tutoring, study skills training and instruction leading to secondary school completion including drop out prevention strategies
2) Alternative secondary school
3) Paid and unpaid work experience
4) Occupational skills training
5) Summer employment
6) Leadership development
7) Supportive services
8) Adult mentoring
9) Comprehensive guidance and counseling
10) Follow-up Services
11) Job placement and retention
The purpose of this PWC Youth Policy & Procedures Manual is to provide a user friendly reference manual for delivering WIA Youth Services. The Community and Economic Development Department (CEDD), Workforce Connection Division (WCD) WIA Youth Program staff is available to assist with questions or clarifications pertaining to this manual and can be contacted by using the following information:

Tim Valencia, Youth Programs Coordinator
Phone Number: 602-495-3609  E-mail Address: tim.valencia@phoenix.gov

Abby Garcia, Administrative Aide
Phone Number: 602-534-3794  E-mail Address: abby.garcia@phoenix.gov

Phyllis Rucker, Workforce Development Specialist
Phone Number: 602-534-1660  E-mail Address: phyllis.rucker@phoenix.gov

Susie Barlow, Workforce Development Aide
Phone Number: 602-495-5630  E-mail Address: susie.barlow@phoenix.gov
BACKGROUND

The Workforce Investment Act (WIA) states that a youth council must be established as a subgroup within each local Workforce Investment Board (WIB). The purpose of the local Youth Council is to strengthen the capacity of education, youth development and training programs to provide high quality services. The local Youth Council promotes a network that increases communication, coordination and collaboration, and encourages public support for this effort.

The membership of each local area youth council shall include:

- Individuals with special expertise and interest in youth policy
- Representatives of youth service agencies including juvenile justice and local law enforcement agencies
- Parents of eligible youth
- Representatives of Public Housing Authority
- Former participants or representatives of organizations who have expertise in youth activities
- Representatives of the Job Corps
- Other individuals deemed appropriate by the PWC Board

Note: Members of the YIC who are not members of the PWC Board shall be voting members of the YIC and non-voting members of the PWC Board.

PURPOSE

The Phoenix Workforce Connection (PWC) Board’s Youth Council is known as the Youth Initiatives Committee (YIC), and members are appointed by the PWC Board in cooperation with the local chief elected officials. The purpose of the YIC is to develop and coordinate policy with a youth perspective to strengthen linkages between existing local youth services and draw upon the expertise of all related community/employer groups. The YIC will be actively engaged in providing oversight and guidance to the PWC youth program.

The YIC functions include strategic planning, leveraging of funds for youth programs, recommending youth program service providers and monitoring program effectiveness. The YIC will engage in strategic planning to bring together WIA-funded services and other partner services and programs to build a comprehensive youth development system in their communities.
POLICY

A priority for the YIC is to leverage both financial and programmatic resources to ensure that all eleven WIA youth program elements are available in the local area.

Two key responsibilities of the YIC are to recommend eligible youth program service providers for youth services and conduct oversight of youth program service providers (WIA Public Law (P.L.) Section 117 (h) (4) (B), 29 USC 2832).

WIA requires that the PWC Board select youth program service providers using a competitive process based on recommendations of the YIC.

As part of the Request for Proposal (RFP) planning process, the YIC, with authority from the PWC Board, will focus on improving the RFP process and criteria for selecting youth program service providers.

The YIC will ensure that the City of Phoenix, Community and Economic Development Department (CEDD), Workforce Connection Division (WCD) WIA Youth Program staff will have a well established monitoring system in place to include the following items:

- Accounting and reporting practices
- Performance benchmarks
- Performance review process
- Corrective action plans
- Mechanisms for ongoing feedback and continuous improvement
BACKGROUND

Youth Development is defined as a process which prepares young people to meet the challenges of adolescence and adulthood through a coordinated, progressive series of activities and experiences which help them to become socially, morally, emotionally, physically and cognitively competent. Positive youth development addresses the broader developmental needs of youth, in contrast to deficit-based models that focus solely on youth problems. (National Collaboration for Youth).

The PWC Youth Program System conducted a strategic planning process, which culminated in an Improvement Plan that incorporates and adopts a systems approach to meeting the needs of WIA eligible youth. The first action was to develop and define standards for the Youth Learning System. The standards that the WIA Youth System has adopted include the Workplace Skills Standards from the Arizona Department of Education.

POLICY

In order to align the WIA Program with the Arizona Education System, the Workplace Skills Standards are intended to provide guidance when training WIA eligible youth. In today’s competitive job market, the minimum skills needed by the youth are set at a higher standard by the employer. Those higher standards are typically soft skills, which complement hard skills. In order to ensure success in the workplace, youth must be trained in both hard and soft skills.

Workplace Skills Standards
The Workplace Skills Standards are designed to be integrated into the traditional curriculum at all levels and are most effectively learned in the context of an integrated effort involving parents, educators, business partners, and members of the community. Student acquisition of critical workplace skills, with an emphasis on application, is a developmental process which encompasses an individual’s entire lifetime. The demonstration of these skills is essential for individuals and contributes to the foundation of an educated citizenry.

The Workplace Skills Standards are identified by grade and attainment levels. The attainment levels are Proficiency (Grade Level) and Distinctions (Honors). The goal of the WIA Youth Program is to ensure participants master the Grade Level Proficiency by integrating the standards in the youth provider’s day-to-day operations.
**Workplace Skills Standards**

**STANDARD 1**
Students use principles of effective oral, written and listening communication skills to make decisions and solve workplace problems.

**STANDARD 2**
Students apply computation skills and data analysis techniques to make decisions and solve workplace problems.

**STANDARD 3**
Students apply critical and creative thinking skills to make decisions and solve workplace problems.

**STANDARD 4**
Students work individually and collaboratively within team settings to accomplish objectives.

**STANDARD 5**
Students demonstrate a set of marketable skills which enhance career options.

**STANDARD 6**
Students illustrate how social, organizational and technological systems function.

**STANDARD 7**
Students demonstrate technological literacy for productivity in the workplace.

**STANDARD 8**
Students apply principles of resource management and develop skills that promote personal and professional well-being.

**ADDENDUMS**

Workplace Standards
www.ade.az.gov/standards/ProficiencyDistinction/ProfWORKPLACE.pdf
SECTION TWO

PHOENIX WORKFORCE CONNECTION PROCEDURES

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II-B ................... PROGRAM ELIGIBILITY /VOS VERIFICATION
II-C ........................ APPLICATION & PARTICIPATION
II-D .......................... OBJECTIVE ASSESSMENT
II-E .......................... INDIVIDUAL SERVICE STRATEGY (ISS)
II-F .............................. PROGRAM ELEMENTS
II-G .............................. CASE NOTE DOCUMENTATION
II-H .............................. SKILL ATTAINMENT
II-I .................................................. EXIT
II-J .............................. FOLLOW UP SERVICES
BACKGROUND

Applicants must meet specific eligibility criteria to be registered and receive services from a WIA Youth Program. Before the start of the eligibility screening, it must be determined that the applicant is a citizen or resident alien with a right to work status, and males, 18 to 21 years of age, must be registered with Selective Service. The applicant's status (age, barrier, school status) does not change throughout his/her participation. The applicant is considered a WIA youth participant at the first WIA funded activity, which is always Objective Assessment. Eligibility is tracked and verified utilizing the Virtual One Stop (VOS) System and participant's case file.

POLICY

All orientation and recruitment events must be conducted to target youth who reside within the city of Phoenix geographical area. While there may be limited situations where a youth resides in a neighboring municipality, his/her participation cannot reduce opportunities for city of Phoenix youth to participate in WIA-funded programs. In other words, city of Phoenix youth must always be given priority in services.

Orientation/Initial Assessment to the program will be conducted individually or in groups and will consist of an overview of the enrollment process, assessments, training programs, attendance requirements while in training, and information regarding financial aid and support services. Not everyone is enrolled in the program; however, alternatives will be explored with each orientation attendee. If the youth is not enrolled at this time, a referral may be given for another program to better meet his or her needs.

Suitability should be determined during orientation. Not all youth who seek WIA-funded services will be suitable for the program, at that given time. The youth may have a problem or barrier that WIA services will not resolve. The Youth Providers must adequately assess suitability by gleaning critical information from the youth. For example, the youth may only want employment (summer, WEX, etc.) but is not interested in occupational training, work readiness training, etc. The youth's expectations differ than the program's expectations.

Eligibility must be determined prior to providing services to the participant in order to comply with WIA requirements. The term “eligible youth” means an individual who is:

- A low-income individual as defined by Public Law (definition in Glossary)
- Not younger than age 14 and not older than age 21
- A Citizen or Resident Alien with a Right to Work status
- Registered with Selective Service if a male between 18 to 21 years of age
- An individual with one or more of the following barriers:
Deficient in basic literacy skills as defined to include either:

- Computes or solves problems, reads, writes, or speaks English at or below grade level 8.9
- Is unable to compute or solve problems, read, write, or speak English at a level necessary to function on the job, in the individual's family, or in society

- Homeless, runaway, or foster child
- Pregnant or a parent
- Drop Out
- Offender
- An individual who requires additional assistance to complete an educational program or to secure and hold employment as determined by one of the following criteria.
  - Occupational Skills Deficient
  - “At-risk” by the Local Education Agency
  - Limited English speaking abilities
  - Considered disabled

Special Youth Barriers - The Phoenix Workforce Connection (PWC) Youth Initiatives Committee (YIC) has determined that any one of the following may be addressed within this eligibility criterion.

- Over age and under-credited
- Deficient in at least 5 of the 12 work-readiness skills
- Occupational skills deficient
- Requires reasonable accommodations for special needs as addressed in Section 504 of School Law
- Limited English speaking
- “At-risk” by the Local Education Agency

Specific documentation for the special youth barriers listed above is required and must be placed in the case file to support the eligibility barrier.

Non-Economically Disadvantaged Youth may benefit for WIA service. WIA requires that at least ninety-five percent (95%) of registered participants be economically disadvantaged. Up to five percent (5%) of participants in each local area who do not meet the low-income eligibility requirement can be determined eligible if they have one or more of the following barriers:

- High school dropout
- Basic skills deficient
- Education attainment that is one or more grade levels below the grade level appropriate to the age of the individuals
Phoenix Workforce Connection Youth Program

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Federal Register/Vol. 65, No. 156 — §664.200
Public Law WIA Section 101(13)

- Pregnant or parenting
- Individuals with disabilities, including learning disabilities
- Homeless, runaway youth, or foster youth
- Offenders
- Special Youth Barriers - Other eligible youth who face serious barriers to employment as identified by the Local Workforce Investment Board (LWIB), which the YIC determined that any one of the following may be addressed within this eligibility criterion:
  - Over age and under-credited
  - Deficient in at least 5 of the 12 work-readiness skills
  - Occupational skills deficient
  - Requires reasonable accommodations for special needs as addressed in Section 504 of School Law and/or identified in a school IEP
  - Limited English speaking
  - “At-risk” by the Local Education Agency

Each youth program services provider will prepare a monthly youth participation list which identifies all youth under the 5% window of eligibility including carry-overs and exits. Each youth program service provider will maintain a monthly youth participant list which will be made available during City of Phoenix, Community and Economic Development Department (CEDD), Workforce Connection Division (WCD) monitoring reviews and Arizona Technical Assistance Reviews. The participant list will include all enrolled participants and identify each participant as economically or non-economically disadvantaged. WCD staff will review the youth program service provider’s participant list monthly to ensure compliance with the 5% limitation for non-economically disadvantaged youth.

**Maricopa Workforce Connection (MWC) requires that at least one-hundred percent (100%) of registered participants be economically disadvantaged.**

**Out-of-School Youth:**
A minimum of 30% of all funds must be spent on out-of-school youth, defined as an eligible youth who is a school dropout or who has either graduated from high school or holds a General Education Diploma (GED), but is basic skills deficient, unemployed, or underemployed, or is attending post-secondary and basic skills deficient.

**ADDENDUMS**

PWC 5% Report  Income Worksheet
Suitability Questions  Self Certification
Eligibility Flow Chart  Program Flow Chart
BACKGROUND

Initial general and economic eligibility determinations are to be based on a review of the VOS application form signed by the WIA applicant and/or parent/guardian (in the case of a minor). The following procedures and guidelines have been developed for documenting program eligibility and economic eligibility. Youth providers must ensure that City of Phoenix youth are given priority to receive WIA-funded services.

POLICY

The Arizona Department of Economic Security/WIA Section recently issued WIA Guidance Letter #05-07, Change 2, which supersedes WIA Guidance Letter #05-07, Change 1, dated May 22, 2009 and WIA Guidance Letter #05-07 dated April 15, 2008. Only the documents listed under “Acceptable Verification and Documentation” on the revised WIA Eligibility & Verification Checklist are acceptable verification of the data element in VOS. **Please note that the WIA Eligibility and Verification Checklist was revised to align with TEN#19-07. The Citizenship/Right to Work element, due to the federal elimination of certain documents used on the I-9 Employment Verification form, was also updated. An Applicant Statement form has been created for participants to declare their status for particular data elements. Anyone under the age of 18 applying for WIA services is required to obtain the signature of a parent, guardian, or responsible adult.**

DEFINITIONS

Family
Under WIA, the term “family” relates to two or more persons living in the same household who are related through blood, marriage, or court decree, and are included in at least one of federal law groups below. The state further defines family as an economic unit of one or more person, as described below. Family, as defined below, must be used in determining financial eligibility where appropriate:

- A husband, wife, and their dependent children
- A parent or guardian and his/her dependent children
- A Husband and wife
- An economic unit of one or more persons who receive at least 50% of their financial support from the economic unit.

**Note:**
*If any family member included in definitions above is disabled, he/she is considered a family of one. Verification of disability must be documented.*

Disability
Provision of this information by a participant is voluntary and may only be self-identified. The applicant must support any such claim with appropriate documentation.

In determining whether an individual without a disability can be considered to be a family unit of one, consideration is to be given to the following situations:

- An individual 14 years of age or older, not living with his/her family, and receiving less than 50 percent maintenance from the family in a six month period previous to program application
- An individual 18 years of age or older living with his/her family who received less than 50 percent maintenance from the family in the six month period previous to program application and is not the principal earner nor the spouse of the principal earner

Citizenship/Right to Work
Participation in WIA Title IB programs or activities must be available to United States citizens, lawfully admitted permanent resident aliens, refugees, asylees, parolees, and other immigrants **authorized to work in the U.S.**. There are numerous documents which Local Workforce Investment Agencies (LWIAs) can accept as verification for citizenship and right to work in the United States. These documents are listed under WIA Eligibility & Verification Checklist.

Income Verification

An Applicant Statement may be used to document family income when the information is unverifiable or it is unreasonably difficult for the applicant to obtain. When all practical attempts to secure the income verification have failed and an applicant statement is used, detailed documentation in the case file must include the number of attempts and types of attempts (i.e.: phone calls, written requests for information, etc.) completed by the case manager.

Applicant Statement
A participant may provide an applicant statement for a particular data element to declare their status and then signs and dates a WIA Applicant Statement form acknowledging this status. In these instances, the State does permit an applicant statement as an alternative means of verifying a limited number of factors related to the applicant status. The key elements for an applicant statement are (1) the participant identifying his or her status for permitted elements, and (2) signing and dating a form attesting to this self-identification.

The WIA Eligibility and Verification Checklist is used by program monitors when conducting data validation checks. Some of the elements state that the WIA application is sufficient for proof; however, some require that if no document is provided, then the
Applicant Statement form is used for validation. The checklist will enable easy identification of documents used to meet eligibility requirements.

The following four youth elements are the only instance where the WIA Application is a sufficient source for documentation (the WIA Application must be signed by the youth):

1. Homeless individual and/or runaway
2. Youth Offender
3. Youth who needs additional assistance
4. School status at participation

The following elements are instances where an Applicant Statement is permitted when efforts have been exhausted and it has been determined that the documentation is unavailable and obtaining the documentation will cause undue hardship for the individual:

1. Homeless individual and/or runaway
2. Youth Offender
3. Pregnant or parenting youth
4. Youth who needs additional assistance
5. School status at participation
6. Family Size
7. Proof of Unemployment or Lack of Income
8. Individual Status or Family Size

For the pregnant or parenting youth observation is also listed as a source documentation requirement for this element, in which the caseworker would have to document they have observed that the participant is pregnant or parenting in VOS case notes.

All reasonable attempts must be made to secure the co-signature of the parent or legal guardian to the WIA Application and/or Applicant Statement form in the instance where a minor is applying for WIA services. If there is no parent or legal guardian available, a responsible adult in the life of the minor will have to suffice. A responsible adult (18 or older) can be a family member who has no legal guardianship but provides room and board, a religious person currently familiar with the family history of the minor, a counselor at a homeless shelter, etc.

**Coordination of Pell Grants with Other Education-Related Assistance**

It is important that Local Workforce Investment Areas (LWIAs) leverage available funds for training, including Pell Grants and WIA Individual Training Accounts (ITAs), to ensure that the costs of training and support services are fully paid for WIA participants, and to reduce the likelihood of duplicate payments for such services. To date, the U.S.
Department of Labor has not issued additional guidance regarding the order of payments for training costs for individuals eligible for both WIA and other educational assistance. However, the WIA Final Rule does emphasize that local area programs should assist each participant in establishing Pell Grant eligibility before a participant enrolls in a particular school or training program. A WIA participant may be enrolled into training with WIA funds while a Pell Grant application is pending. However, the Local Workforce Investment Area (LWIA) must put a process in place so that that LWIA can be reimbursed by a training institution for the “tuition” portion of the Pell Grant funds. Generally, Pell Grants provide both tuition and other types of assistance (e.g. living expenses, lab fees, books, etc.). Only the portion of the Pell Grant that provides for tuition is subject to reimbursement.

The Free Application for Federal Student Aide (FAFSA), which is used to establish Pell Grant eligibility, is readily available on-line at http://www.fafsa.ed.gov. When a participant completes the FAFSA on-line, it can be electronically submitted immediately to the U.S. Department of Education (DOE) for processing. Generally, the DOE makes a determination of Pell eligibility and notifies an applicant within 30 days of FAFSA submittal.

### WIA ELIGIBILITY AND VERIFICATION CHECKLIST

**WIA Eligibility & Verification Checklist**  
WIA Guidance Letter #05-07, Change 2, Supersedes PWC Guidance Letter #08-008

*Individuals must meet the following General Eligibility Criteria, which consists of Citizenship or Eligible to Work, Age, and Selective Service Registration.*

<table>
<thead>
<tr>
<th>CRITERIA</th>
<th>ACCEPTABLE VERIFICATION AND DOCUMENTATION</th>
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<tbody>
<tr>
<td><strong>1. ELIGIBILITY</strong></td>
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| **Selective Service Status** | • Not applicable  
  Documentation MUST be in file  
  N/A |  
  • Telephone Verification (847) 68868888  
  • DD-214 Report of Transfer or Discharge  
  • Selective service registration record (form 3A)  
  • Selective service verification form  
  • Stamped post office receipt of registration  
  • Internet [www.sss.gov](http://www.sss.gov)  
  • Selective service registration card  
  • SS Advisory opinion letter  
  • Selective Service registration w/WIA  
  • Exempted based on selective service guidance (In VOS, not on Change 1) |
| **Individual Status/Family Size** | • Public Assistance/social service agency records  
  Documentation MUST be in file  
  N/A |  
  • Birth certificates  
  • Court decree  
  • Disabled (Family of 1)  
  • Divorce decree |
<table>
<thead>
<tr>
<th>Phoenix Workforce Connection Youth Program</th>
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<tbody>
<tr>
<td><strong>Section: II-B</strong></td>
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<th>Citizenship or Eligible To Work Documentation MUST be in file</th>
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<td><strong>Individual/Family Income</strong></td>
<td><strong>Citizenship or Eligible To Work</strong></td>
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<tr>
<td>- Landlord statement</td>
<td>- Baptismal Certificate with Place of Birth</td>
</tr>
<tr>
<td>- Lease (if family size is given)</td>
<td>- One verification source from List A (I-9 form/listed below)</td>
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<tr>
<td>- Most recent tax return</td>
<td>- One verification source from List B AND one verification source from List C</td>
</tr>
<tr>
<td>- Public housing authority (if resident or on waiting list)</td>
<td>- DD214, Report of Transfer or Discharge (if place of birth is shown).</td>
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<tr>
<td>- Written statement from a publicly supported 24 hour care facility or institution (e.g. mental, prison)</td>
<td><strong>List A</strong></td>
</tr>
<tr>
<td>- Social Security Cards/Numbers</td>
<td>- U.S. Passport or U.S. Passport Card</td>
</tr>
<tr>
<td>- Applicant Statement w/Corroborating Witness Signature</td>
<td>- Permanent Resident Card or Alien Registration Receipt Card (Form I-551)</td>
</tr>
<tr>
<td>- Native American Tribal document</td>
<td>- Foreign Passport with a temporary I-551 stamp or temporary I-551 printed notation on a machine-readable immigrant visa.</td>
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<td>- Local Area does not verify (no priority of service in effect)</td>
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<td><strong>Native American Tribal document</strong></td>
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<tr>
<td><strong>Local Area does not verify (no priority of service in effect)</strong></td>
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<tr>
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<tr>
<td><strong>Alimony agreement</strong></td>
<td><strong>Local LWIA Does Not Verify Income</strong></td>
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<tr>
<td><strong>Applicant Statement w/Corroborating Witness Signature</strong></td>
<td><strong>Bank statements</strong></td>
</tr>
<tr>
<td><strong>Award letter from Veterans Administration</strong></td>
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</tr>
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<td><strong>Compensation award letter</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Court award letter</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Employer statement/contact</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Family or Business Financial Records</strong></td>
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<td><strong>Housing authority verification</strong></td>
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<tr>
<td><strong>Pay stubs</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Pension/annuity statement</strong></td>
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<td><strong>Public assistance records</strong></td>
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<td><strong>Quarterly Estimated Tax for Self Employed Persons</strong></td>
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</tr>
<tr>
<td><strong>Social security benefits</strong></td>
<td></td>
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<tr>
<td><strong>UI Documents and/or Printout</strong></td>
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<td><strong>Local LWIA Does Not Verify Income</strong></td>
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<tbody>
<tr>
<td><strong>Baptismal Certificate with Place of Birth</strong></td>
<td><strong>List A</strong></td>
</tr>
<tr>
<td><strong>One verification source from List A (I-9 form/listed below)</strong></td>
<td>- U.S. Passport or U.S. Passport Card</td>
</tr>
<tr>
<td><strong>One verification source from List B AND one verification source from List C</strong></td>
<td>- Permanent Resident Card or Alien Registration Receipt Card (Form I-551)</td>
</tr>
<tr>
<td><strong>DD214, Report of Transfer or Discharge (if place of birth is shown).</strong></td>
<td>- Foreign Passport with a temporary I-551 stamp or temporary I-551 printed notation on a machine-readable immigrant visa.</td>
</tr>
</tbody>
</table>

**List A**

- U.S. Passport or U.S. Passport Card
- Permanent Resident Card or Alien Registration Receipt Card (Form I-551)
- Foreign Passport with a temporary I-551 stamp or temporary I-551 printed notation on a machine-readable immigrant visa.
- Employment Authorization Document that contains a photograph (Form I-766)
- In the case of a nonimmigrant alien authorized to work for a specific employer incident to status, a foreign passport with Form I-94 or Form I-94A bearing the same name as the passport and containing an endorsement of the alien's nonimmigrant status, as long as the period of endorsement has not yet expired and the proposed employment is not in conflict with any restrictions or limitations identified on the form.
- Passport from the Federated States of Micronesia (FSM) or the Republic of the Marshall Islands (RMI) with Form I-94 or I-94A indicating nonimmigrant admission under the Compact of Free Association Between the United States and the FSM or RMI.

**List B**

When selecting from list 'B' there must also be a copy of one item from list 'C' as documentation in the participant file.

- Driver’s License or ID Card issued by a state or outlying possession of the U.S. provided it contains a photograph or information such as name, date of birth, gender, height, eye color and address
- ID Card issued by federal, state or local government agencies or entities, provided it contains a photograph or information such as name, date of birth, gender, height, eye color and address
- School ID Card with a photograph
- Voter’s Registration Card
- U.S. Military Card or Draft Record
- Military Dependent’s ID Card
- U.S. Coast Guard Merchant Mariner Card
- Native American Tribal Document
- Driver’s License issued by a Canadian Government Authority

**For persons under 18 who are unable to present a document listed above:**

- School Record or report card
- Clinic, doctor or Hospital Record
- Day-care or nursery school record

**List C**

When selecting from list ‘C’ there must also be a copy of one item from list ‘B’ as documentation in the participant file.
<table>
<thead>
<tr>
<th>Address</th>
<th>Address Verification</th>
</tr>
</thead>
</table>
| Documentation in File N/A | • Applicant Statement with Corroborating Witness Signature  
• Computer Printout from Government Agency  
• Food Stamp Award Letter  
• Homeless – Primary Nighttime Residence  
• Housing Authority Verification  
• Insurance Policy (Residence and Auto)  
• Landlord Statements  
• Lease  
• Letter from Social Service Agency or School  
• Library Card  
• Local WIA does not verify address  
• Medicaid/Medicare Card  
• Voter Registration Card  
• Phone Directory  
• Postmarked Mail Addressed to Applicant  
• Property Tax Record  
• Public Assistance Records  
• Rent Receipt  
• School Identification Card  
• Selective Service Registration Card  
• Utility Bill  
• Voter Registration Card  
• Driver’s License/State I.D. |

**Documentation needs to be current**

<table>
<thead>
<tr>
<th>Pell Grant</th>
<th></th>
</tr>
</thead>
</table>
| Documentation **MUST** be in file N/A | • Copy of Check  
• Letter from School  
• Student Aid Report |
### Social Security Number
Documentation MUST be in file
- DD-214 report of transfer or discharge
- Letter from social service agency
- U.S. Passport
- Social Security Benefits Letter/Notice
- Social Security Card Issued by SSA
- Unemployment Insurance Records
- Pay stub
- W-2 form
- Pseudo Number

### Date of Birth/Age Verification
Documentation MUST be in file
- Baptismal Record (if Date of Birth is Shown)
- Birth certificate
- DD-214, Report of Transfer or Discharge Paper
- Driver’s License/State ID card
- Federal, State of Local Government ID card
- Hospital Record of Birth
- Passport
- Public Assistance/Social Service Agency Records
- School Records/Identification Card
- Tribal Records
- Work permit
- Cross-Match w/Dept. of Vital Statistics

### 2. DATA VALIDATION

#### Social Security Card
Documentation MUST be in file
- DD-214 report of transfer or discharge
- Letter from social service agency
- U.S. Passport
- Social Security Benefits Letter/Notice
- Social Security Card Issued by SSA
- Unemployment Insurance Records
- Pay stub
- W-2 form
- Pseudo Number

#### Date of Birth/Age Verification
Documentation MUST be in file
- Baptismal Record (if Date of Birth is Shown)
- Birth certificate
- DD-214, Report of Transfer or Discharge Paper
- Driver’s License/State ID card
- Federal, State of Local Government ID card
- Hospital Record of Birth
- Passport
- Public Assistance/Social Service Agency Records
- School Records/Identification Card
- Tribal Records
<table>
<thead>
<tr>
<th>Phoenix Workforce Connection Youth Program</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Section: II-B</strong> REVISED - Program Eligibility / VOS Verification</td>
</tr>
<tr>
<td><strong>Federal Register/Vol. 65, No. 156 — §664.200</strong></td>
</tr>
<tr>
<td><strong>Public Law WIA Section 101(13)</strong></td>
</tr>
</tbody>
</table>

| Individuals with Disabilities | • Work permit  
|                             | • Cross-Match w/Dept. of Vital Statistics |
| Documentation **MUST** be in file |
| If an individual declares a disability, including Learning Disabilities for 5% Non-Economically Disadvantaged Youth. |
| • Letter from drug or alcohol rehabilitation agency  
| • Medical records  
| • Physician’s statement  
| • Psychiatrist’s statement  
| • Psychologist’s diagnosis  
| • Rehabilitation Evaluation  
| • School records  
| • Sheltered workshop certification  
| • Social security administration disability records  
| • Social Service Records/Referral  
| • Veterans administration letter/records  
| • Vocational Rehabilitation letter  
| • Workers’ compensation record |

| Veteran Status or Spouse of a Veteran | • DD 214  
| Documentation **MUST** be in file N/A | • Cross-Match with Veterans Data  
| Spouse of a Veteran:  
| • Cross Match with Veterans Data  
| • Military document (ID, other DD form) indicating dependent spouse  
| • Documentation (such as DD214) that indicates status of veteran that meets the requirements for "spouse of a Veteran". |

| Employment Status at Participation | • Pay Stub  
| Documentation **MUST** be in file N/A | • Case Notes showing information collected from participant |

| UI Compensation Programs | • UI records (benefit history, wage, record, letter) |
| Documentation **MUST** be in file N/A |

| Income | • Alimony agreement  
| Documentation **MUST** be in file N/A | • Applicant Statement w/Corroborating Witness Signature  
| • Award letter from Veterans Administration  
| • Compensation award letter  
| • Court award letter  
| • Employer statement/contact  
| • Family or Business Financial Records  
| • Housing authority verification |
### Temporary Assistance to Needy Families (TANF) Documentation

**MUST be in file**

- Cross-Match with TANF Public Assistance Records

**Individual applying must be listed on current grant.**

### Other Public Assistance Recipient Documentation

**MUST be in file**

- Cross-Match with Public Assistance Database

**N/A**

Note: If the applicant is a person who is receiving or has received cash assistance or other support services from one of the following sources in the last six months prior to participation in the program:

- **A. General Assistance – State/Local Government**
  - Authorization to receive cash public assistance
  - Copy of public assistance check
  - Medical card showing cash grant status
  - Public assistance records/printout
  - Agency Award Letter
  - Cross-Match with Public Assistance Database

  **Individual applying must be listed on current grant to show dates of eligibility for benefits.**

- **B. Refugee Cash Assistance (RCA)**
  - Refugee Assistance Records/Printout
  - Authorization to receive cash public assistance
  - Copy of public assistance check
  - Medical card showing cash grant status
  - Public assistance records/printout
  - Cross-Match with Public Assistance Database
  - Agency Award Letter

- **C. Nutrition Assistance (formerly Food Stamp Program)**
  - Tribal Commodity Program Records/Printout
  - Public assistance records/printout
  - Cross match w/Public Assistance Database
  - Agency Award

  **Individual applying must be listed on current grant to show dates of eligibility for benefits.**

- **D. Supplemental Security Income (SSI/SSA Title XVI)**
  - Authorization to receive cash public assistance
  - Copy of public assistance check
  - Medical card showing cash grant status
  - Public assistance records/printout

Note: Does not include foster care payments.
<table>
<thead>
<tr>
<th>Section</th>
<th>REVISED - Program Eligibility / VOS Verification</th>
<th>Page 11 of 14</th>
</tr>
</thead>
</table>

**Homeless Individual or Runaway Youth**

- Documentation **MUST** be in file
- N/A

- Written Statement from a Shelter or Social Service Agency
- Written Statement from an Individual Providing Temporary Residence
- Applicant Statement
- WIA Application (signed by applicant)

**Offender**

- Documentation from Juvenile Just/Criminal Justice System
- Documentation Phone call with court Representative
- Applicant Statement
- WIA Application (signed by applicant)

**3. YOUTH BARRIERS**

**Pregnant or Parenting Youth**

- Documentation **MUST** be in file
- N/A

- Child’s Baptismal Record
- Case Notes regarding Observable Condition
- Child’s Birth Certificate
- Doctor’s Note Confirming Pregnancy
- Applicant Statement

**Youth Who Need Additional Assistance**

- Documentation **MUST** be in file
- N/A

- Case Notes
- Individual Service Strategy
- See Local Area Policy and Plan
- State Management Information System
- Applicant Statement
- WIA Application (signed by applicant)

**Education Status at Time of Participation**

- Documentation **MUST** be in file
- N/A

- Enrolled at time of participation
  - School Transcripts
  - Attendance Records
  - School Documentation

- Out of School at time participation
  - GED Certificate
  - Diploma
  - Dropout Letter
  - Applicant Statement
  - WIA Application (signed by applicant)
  - State MIS
### Basic Literacy Skills Deficiency
**Documentation MUST be in file**

- School Records
- Standardized Assessment Test
- Case Notes

### Foster Care Youth
**Documentation MUST be in file**

- Confirmation from Social Services Agency
- Case Notes

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### INCLUSIONS IN FAMILY INCOME

Income that is considered when determining low-income status for the six (6) months prior to the date of application:

- Alimony
- College or university grants (excluding Pell Grants), fellowships, assistantships
- Dividends, interest, net rental income, net royalties, and periodic receipts from estates or trusts
- Gross wages/salaries paid, and military pay while on active duty and severance pay
- Military family allotments or other regular payments from an absent family member but not child support
- Net gambling or lottery winnings
- Net receipts from
  - Non-farm self-employment (receipts from an individual's own unincorporated business, professional enterprise, or partnership after deductions for business expenses)
  - Farm self-employment (receipts from a farm which one operates as an owner, renter, or sharecropper, after deductions for farm operating expenses)
- Pensions, whether private or government (including military retirement pay)
- Regular disability insurance or annuity payments
- Regular payments from the following:
  - Railroad retirement
  - Strike benefits from union funds
  - Worker's compensation
  - Training stipends
  - Supplemental unemployment benefits paid by the union or employer
  - Work-study wages **not issued on low-income status**
- Tribal Per Capita payments per US Department of Labor DINAP Bulletin No. 00-11. According to this bulletin, per capita payments, regardless of the title attached to these payments, are considered “family income” with the exception of those payments “derived from an exercise of the trust responsibility”.

---
EXCLUSIONS IN FAMILY INCOME

The income that is not considered when determining low income status:

- Any assets drawn down as withdrawals from a bank, the sale of property, a house or a car
- Capital gains
- Child support payments (paid or received), including foster care child payments (see Glossary for definition of Child Support)
- Veterans' benefits, i.e., compensation for a service-connected disability, compensation for service-connected death, vocational rehabilitation and education assistance
- WIA payments: training stipends, support, and wages
- Non-cash benefits such as employer-paid fringe benefits, food or housing received in lieu of wages, Medicare, Medicaid, Food Stamps, school meals, and housing assistance
- Pell Grants, Federal Supplemental Educational Opportunity Grants and Federal Work Study, PLUS, Stafford and Perkins loans (These are like any other type of loan, they represent debt and not income)
- Scholarships based on need
- Tax refunds, gifts, loans, lump-sum inheritances, one-time insurance payments, or compensation for injury
- Unemployment compensation
- Welfare payments (including TANF, SSI, RCA, and GA)
- Work-study wages issued on low-income status
- Social Security (old age and survivors’ insurance or disability insurance).

The 70% Lower Living Standard Income Levels (LLSILs) are published by the Secretary of Labor annually. They represent maximum annual income levels, adjusted for metropolitan and non-metropolitan areas, as well as family size, that are used as a criterion for eligibility under WIA. Specifically, the 70% LLSILs are used to determine annual income eligibility for adults when local area funds are limited, and for all eligible youth, with the exception of those served under the 5% annual income exception rule (See WIA Final Rule, Section 664.220). The 70% LLSIL annual income levels are indicated in the chart below for PY 2011. The chart will be updated annually. Due to the vendor contract with Geographic Solutions expiring, the LLSIL table in VOS is not updated. Use the DES interim guidance letter – WIA Guidance Letter #10-015, Work-Around for LLSIL PY11 Income Eligibility which is attached to PWC Guidance Letter #08-10, Annual Update of Lower Living Standard Income Levels as guidance for data entry to record income eligibility.
### Phoenix Workforce Connection Youth Program

Federal Register/Vol. 65, No. 156 — §664.200
Public Law WIA Section 101(13)

<table>
<thead>
<tr>
<th>FAMILY SIZE</th>
<th>70% LLSIL* METRO AREA</th>
<th>100% LLSIL METRO AREA</th>
<th>SELF-SUFFICIENCY For employed Adults* 450% LLSIL METRO AREA</th>
<th>SELF-SUFFICIENCY For employed DW 450% LLSIL METRO AREA</th>
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Attachment: PWC Guidance Letter #10-015
BACKGROUND

The Workforce Investment Act (WIA) places emphasis on serving youth within a comprehensive statewide workforce development system. The youth program service provider shall make a decision to enter the youth into WIA for services based upon suitability and eligibility requirements.

POLICY

All youth applicants who receive Phoenix Workforce Connection (PWC) Youth Program services must be determined eligible and enrolled into the first WIA funded activity, which is always Objective Assessment. The VOS application must be signed by the youth provider staff and youth participant prior to the first WIA funded activity. The VOS Application must be printed out (right click your mouse on the VOS application screen, click on Print) and the participant and case manager must sign and date the VOS application on the last page.

After eligibility is determined and the VOS application is completed, enrollment into the PWC Youth Program is accomplished by creating an activity record in the Virtual One Stop System. (Refer to VOS Section in this manual.) The youth provider must begin the first activity (objective assessment) within 45 days of the eligibility date. There must be no more than a 45-day lapse between the eligibility date and participation date. The official participation date is the date of the first WIA funded activity/service.

PWC Youth Program services include the Objective Assessment, Individual Service Strategy (ISS) and the eleven program elements. PWC Youth Program services must include the following items:

- Objective Assessment
- Development of an ISS to design service mix in order to address the 11 elements as appropriate
- Eleven program elements, which is determined by the service mix
  - Tutoring, study skills training, and instruction leading to secondary school completion including drop out prevention strategies
  - Alternative Secondary School
  - Paid and unpaid Work Experience
  - Occupational Skills Training
  - Summer Employment
  - Leadership Development
  - Supportive Services
  - Adult Mentoring
  - Comprehensive Guidance and Counseling
  - Follow-Up Services
  - Job Placement and Retention
BACKGROUND

Active participant engagement leads to positive outcomes. In addition, specific program elements have direct impacts on WIA outcome measures. Thorough assessment of each individual’s needs will increase successful program outcomes. Tracking youth participation will help manage the process of keeping participants on track for completion of short-term skill attainment goals and preparation to move into long-term employment, education, or training.

POLICY

Objective Assessment is always the first WIA funded activity.

As a result of the objective assessment process, the participant will learn more about his/her skills, knowledge, and abilities in relation to secondary and post secondary school education goals, vocational training goals, and/or career goals. The youth program service provider will learn about the participant’s educational levels; work readiness and prior work experience strengths and abilities; barriers that may hinder returning/remaining in school to complete basic education, hinder occupational skills training or hinder obtaining/retaining employment. Determining educational skills will also assist the provider with determining goals for skill attainment. (Please see Skill Attainment section.)

An objective assessment of skill levels and service needs of each participant is to be completed. This assessment shall include an examination of basic skills, occupational skills, educational background, prior work experience, employability, interests, aptitudes, attitudes towards work, motivation, behavioral patterns affecting employment potential, supportive service needs, developmental needs, leadership needs, and family situation. The assessment shall include an evaluation of the participant’s barriers to employment including financial resources and supportive service needs. The assessment is used by youth program service providers to develop an Individual Service Strategy (ISS) to identify and provide a method to obtain employment and accomplish education and training goals.

Younger youth (ages 14 through 18) shall be assessed using standardized evaluation tools for deficiencies in basic, occupational and work readiness skills to establish goals for the required Workforce Investment Act (WIA) Skills Attainment Performance Measure. An assessment to determine presumptive need and pre-assessment tools for each skill attainment category are available in Arizona’s Skill Attainment System manual. The pre-assessment and skill attainment must be included in the hard copy file. The youth program service provider must set a minimum of one skill attainment goal.
per year, and may determine whether the youth can achieve more than one goal in the same period.

Older youth (ages 19 through 21) shall be assessed for deficiencies in either basic skills, occupational skills or work readiness skills to establish goals. They also shall be assessed with a focus on education and/or employment. Barriers to employment and training are evaluated and take into account participant’s family situation, work history, education, occupational skills, interests, attitudes toward work, motivation, behavior patterns affecting employment potential, financial resources, supportive service needs, and personal employment information as it relates to the local labor market.

The objective assessment is to be a client-centered, diagnostic approach to evaluate the needs of participants without regard to services or training programs available. It should include a full array of options including structured interviews, career guidance instruments, basic skills tests, and behavioral observations. The objective assessment process begins with an interaction between the participant and youth program service provider and resulting in a mutually developed ISS, which is the plan of action for training and/or services. This process may include structured interviews, written tests, performance tests (i.e. skills and/or work samples including those that measure interest and capability to train in nontraditional employment), behavior observations, interest and/or attitude inventories, career guidance instruments, aptitude test, and basic skills test.

The objective assessment shall include, as appropriate, assisting the participant to establish eligibility for Pell Grants, student loans and other forms of financial aid. This examination of the capabilities, vocational potential, barriers to employment, and supportive service needs of a participant is to be used to develop a realistic employment goal and a service strategy. The objective assessment is an ongoing process and should not be viewed as a one-time event, even though the activity may be closed in VOS upon completion. The objective assessment is to be revised regularly when additional needs are identified or goals achieved.

A new comprehensive objective assessment is not required if the youth program service provider determines it is appropriate to use a recent assessment conducted under another education or training program, provided that the assessment has been completed within six months of application for services. All youth program service providers and partners shall accept the assessment outcomes and data of other service collaborators as long as the necessary, accurate and appropriate information is provided, can be translated into a grade level equivalency, and be repeatable for post-testing.
BACKGROUND

The service provider and the participant are to develop an Individual Service Strategy (ISS) which identifies employment goals, appropriate achievement objectives, and appropriate combination of services for the participant to reach the goals. The ISS should be based on the objective assessment and should reflect the expressed interests and needs of the participant. The goals identified must be mutually agreed upon between the youth program service provider and the participant to ensure positive performance. The ISS is a “living document” and is remained opened during participation until exit. However, the ISS can not be the only activity record open in Virtual OneStop (VOS).

POLICY

Comprehensive Individual Service Strategies (ISS) should be developed to include career, educational, and developmental goals, both short-term and long-term. ISS goals and strategies should be updated as short-term goals are achieved or the youth’s needs change. Career goals for younger youth are age appropriate and may identify a career interest that can be developed into a career goal. Goals may change as a youth ages and interests broaden as a result of participation in workforce development activities, which must be reflected in an ISS revision and documented in VOS case notes. Skill attainment goals should be established for all youth needing basic skills, work readiness skills and/or occupational skills training, which is determined by objective assessment, presumptive need, occupational skills assessment and TABE.

The ISS is the basis for the entire case management strategy. The ISS shall be developed in partnership (mutually agreed) with the participant and reflect the needs indicated by the objective assessment and the expressed interests and desires of the participant. The ISS is the framework for justifying decisions concerning the appropriate service mix and sequence of services. A plan of action is developed as part of the ISS for the following:

- Identify academic competencies to be achieved, (i.e. preparation for post-secondary educational opportunities)
- Determine the type of occupational and basic skills training to be provided, (i.e. strong linkages between academic and occupational learning)
- Identify employment opportunities (including nontraditional employment in appropriate circumstances)
- Determine the provision of support services
- Preparation for unsubsidized employment
- Identify a minimum of one of the eleven required program elements
- Establish the achievement goals under the Arizona Skill Attainment System for Youth in the areas of Basic, Work Readiness and Occupational Skills
Note: Goals on the ISS may not be set in VOS for skill attainment purposes until the youth is within one year of attainment.

The ISS should be reviewed and updated periodically to reflect the participant’s progress in meeting the objectives of the ISS including progress in acquiring basic and occupational skills and the adequacy of the supportive services provided. The ISS is reviewed with the participant a minimum of once every 30 days and modifications are made when needed. If modifications are made, an ISS Revision must be developed and signed. The hard copy case file and VOS case notes are updated to reflect the redevelopment of the ISS.

The Individual Service Strategy (ISS) is reviewed with the participant a minimum of once every 30 days; therefore, the ISS activity in VOS can not be the only activity opened for more than 60 consecutive days. Engaging or reengaging the youth to decide on the next WIA activities to be achieved should not take more than 60 days. An open ISS activity over 60 consecutive days must be accompanied by one of the following activities:

- Basic Skills Training
- Alternative Secondary School
- Summer Employment
- Tutoring Study Skills
- Leadership Development
- Adult Mentoring
- Occupational Skills Training
- Comprehensive Counseling
- Job Search and Placement
- On-the-Job Training/Paid-Unpaid

The youth’s ISS is the key tool used to track skill attainment and the successful completion of short and long-term goals, which will lead to positive performance outcomes. An effective ISS plays a critical role in ensuring that the participant stays engaged and is retained in the Phoenix Workforce Connection (PWC) Youth Program until completion of goals. Case notes must be entered in Virtual OneStop (VOS) relating to the ISS process, which includes but not limited to the development, redevelopment, implementation, and achievements made by the participant.
INDIVIDUAL SERVICE STRATEGY DATA SHEET
GUIDELINES FOR COMPLETION

Understanding the Purpose: The ISS is developed using the information provided from the Objective Assessment(s). The ISS will identify and justify the sequence of each service. The ISS will indicate any need for supportive services to assist with barriers to employment and education goals and training. The ISS reflects a continuum of services that will lead to an employment/education goal for Older Youth, and an employment/education and skills attainment goal for Younger Youth.

The ISS is a client centered partnership agreement that documents the expressed interests and assessed needs of the participant. The ISS is intended to be a flexible, living document to guide/record the evolving plans and circumstances of the participant, and to document discussions and decision-making performed interactively with the participant. The ISS is a case management tool and not a formal contract. The following information is a guide to completing the ISS form.

ALL SECTIONS MUST BE COMPLETED.

SECTION 1 – PARTICIPANT IDENTIFICATION:
Print or type all requested personal participant information. The “Contact” should be the legal guardian for Younger Youth (ages 14 through 17). If the legal guardian is not engaged, the contact should ensure communication between the youth provider and participant.

SECTION 2 – WIA PARTNER/OTHER PROGRAM PARTICIPATION:
Mark all Program Services the participant is currently receiving.

SECTION 3 – ASSESSMENT
All participants will take the Test of Adult Basic Education (TABE) Tests (reading, math and language). Scores will be recorded in the VOS Assessment screen and on the ISS. Basic Skills Deficient is at or below the 8th grade (i.e. 8.9 or lower).

Interests/Aptitudes from Assessment
- This section provides an opportunity to determine the hobbies and interests of the participant. An emphasis on identifying future career interests to set employment/training goals should be a primary focus of the evaluation.
- The results of standardized interest inventory tests such as the STRONG Interest Inventory and other vocational assessments available through the Internet or software programs should be indicated in this section.
Current Job Skills
- List "marketable skills" gained through prior education/training/work experience
  Include results of data entry, typing and other skills-based tests in this section

SECTION 4 – BARRIERS TO EMPLOYMENT
Use this section to help set realistic service strategies, identify barriers to achievement of goals, and identify performance outcomes.

- Supportive services are defined in WIA Public Law (P.L.) 105-220 – August 7, 1998, and may include:
  - Transportation
  - Child care
  - Dependent care
  - Housing
  - Related payments that are necessary to enable an individual to participate in activities authorized under Workforce Investment Act.

SECTION 5 – SERVICE STRATEGY SUMMARY
This section will document the service strategy goals and activities to complete the goals. This section documents strategy as they occur, i.e. real time.

- A short narrative is requested to summarize the service mix to support the ISS career goals developed and agreed upon by the youth program service provider and the participant.

Goals and Training Outline

**Goals are set after a thorough review of all the information gained from a comprehensive objective assessment process.**

- A well-developed strategy should be represented in this section to reflect education and employment steps necessary to achieve long term career goals.
- **Younger, In-School-Youth short-term educational goals** are to remain in school and continue to progress to the next level of education, which include skill attainment.
- **Younger/Older Out-of-School youth short-term educational goals** are to re-enter school or begin classes to secure a General Education Diploma (GED) or high school diploma.
- **Primary educational goals** after completion of secondary school are to continue in post secondary vocational or college education.
- **Short-term employment goals** may include Work Experience (WEX) activities to improve work readiness skills or part time jobs to provide financial aid while enrolled and participating in school or training.
•  **Career interests and goals** determined from participant skills, abilities and interests should be reflected in the documentation of intermediate and long-term employment goals.

SECTION 6 – EXPLANATION OF SERVICE MIX
•  A short narrative is requested to summarize the explanation of the service mix to support the ISS career goals developed and agreed upon by the youth program service provider and the participant.

SECTION 7 – PARTICIPANT AGREEMENT/SIGNATURE
•  All required names, signatures and dates **must** appear in this section.
•  An original signed and dated copy is to be retained in the file.
•  Copy of ISS is given to the participant.

SECTION 8 – MONTHLY REVIEW AND REVISION
•  This section will track dates of when the ISS was reviewed with the participant, which must be reviewed once every 30-45 days. All revision must be documented in the case file and in VOS case notes and program activities.

**ADDENDUMS**
Blank Individual Service Strategy (ISS)
ISS Revision
BACKGROUND

The WIA Youth Program Design and Program Elements include ten service elements plus one local element. The 10 required youth program elements plus one must be available through local programs. However, local programs have the discretion to determine what specific services a youth will receive based upon the youth’s objective assessment and individual service strategy. The PWC Youth Initiatives Committee (YIC) has designated Job Placement and Retention as an additional service element for the PWC Youth Program.

POLICY

Phoenix Workforce Connection (PWC) Youth Programs provide comprehensive, integrated and age appropriate workforce development services. Program elements include a variety of services that focus on the unique needs of local area youth. Utilizing objective assessment(s) to identify needs and the development of an Individual Service Strategy (ISS) to establish planned program outcomes, the participant will engage in one or more of the eleven services elements listed below:

Activity Code 400 - Summer Employment
Summer employment opportunities are intended to be part of a comprehensive array of services that are linked directly to academic and occupational learning programs. Summer employment is not intended as a stand-alone program and must be transitioned into a year-round service strategy. This emphasis upon year round services allows for substantial interventions in the lives of participants to attain meaningful goals of skill attainment, as well as post-secondary education, advanced training and job placement outcomes. Funding for these year-round activities may come from Workforce Investment Act (WIA) funds or combined with resources from partner agencies. The amount of services needed for a participant is determined through assessment and an Individual Service Strategy (ISS). Youth program service providers are encouraged to consider the intensity of the services provided and the needs of the participant in determining the appropriate level of follow-up services.

Activity Code 406 - Tutoring, Basic Skills Training, and Instruction
Instruction leading to secondary school completion including drop out prevention strategies. The Skill Attainment System assesses youth for deficiencies in basic academic skills and assigns goals to work toward outcomes for the completion of high school or General Education Diploma (GED) programs. Instruction for both younger and older youth is designed to upgrade basic skills necessary to complete educational goals. Training may include remedial reading, writing, and mathematics,
English for Speakers of other Languages (ESOL), bilingual training, GED preparation, high school diploma preparation, or activities to improve school academic skills.

**Activity Code 407 - Paid and Unpaid Work Experience (WEX)** (See Section III-B)

WEX is a planned and structured learning activity that takes place in a workplace environment for a limited period of time. WEX may be paid/unpaid, or may be subsidized/unsubsidized. WEX may be assigned in the private for-profit sector and/or non-profit sector, or the public sector.

The purpose of the WEX is to provide the participant with the opportunities for career exploration and skill development. It is designed to enable participants to gain exposure to the working world and its requirements. Participation in work experience activities should help participants acquire the personal attributes, knowledge, and skills needed to obtain and retain a job and advance in employment. Benefit to the employer is not a goal of work experience, although the employer may, in fact benefit from the activities performed by the youth.

The following elements may be included but are not limited in the work experience activities:

- Instruction in employability skills or generic workplace skills such as those identified in the Skill Attainment System
- Exposure to various aspects of an industry
- Progressively more complex tasks
- Internships and job shadowing
- Job Readiness training
- Entrepreneurship
- The integration of basic academic skills into work activities (adult education and literacy activities provided in combination with other programs/services)
- WEX activities may be used to obtain work-readiness skills for skill attainment and/or career explorations

**Activity Code 410 - Leadership Development**

Leadership development services shall be incorporated into program activities and may include the following:

- Exposure to local community college services and other post-secondary educational opportunities
- Community and service learning projects to encourage responsibility and other positive social behaviors during non-school hours.
Phoenix Workforce Connection Youth Program

- Peer centered activities to develop rapport and friendship with other youth to provide opportunities to understand and accept diversity to include peer mentoring and tutoring.
- Organizational and teamwork training with opportunities to assume leadership roles in the team environment.
- Training in decision-making with an emphasis on establishing priorities in the participant’s school, work and personal life.
- Citizenship training to include life skills workshops such as budgeting of resources, effective parenting, etc.
- Employability skills to include training on employer expectations in the workplace.
- Positive social behaviors or soft skills that focus on the importance of maintaining a positive attitude, self esteem building, cultural diversity training and work simulation activities.

Activity Code 411 - Adult Mentoring
Programs that encourage positive relationships with adults to serve as role models and mentors to youth shall be provided to participants enrolled in PWC Youth Programs. The goal of a mentoring relationship is to help the participant retain employment and prepare for future promotional opportunities. Mentoring activities excludes WIA case management. Activities may be work-based or non-work based, depending on the needs of the youth. Mentors shall maintain regular contact with the participant, which may include:
- Tutoring to assist with the completion of educational, occupational and basic skills goals
- Coaching in the areas of work ethics, job specific skills and career development skills
- Guiding participant’s progress in achievement of personal and program related goals

Activity Code 415 - Alternative Secondary School
When appropriate, the opportunity to attend an alternate education program must be made available to participants. This may be conducted in or outside of the school system and include Charter Schools that offer alternative formats of strategies or GED preparation classes.

Activity Code 416 - Occupational Skills Training (See Section III-C)
Occupational Skills Training (OST) will be approved by the PWC Youth Program Coordinator and provided by youth program service provider. Training services are designed to equip participants to enter the workforce and retain employment. At a minimum, the participant must be provided individual counseling and career planning
for the development of an Individual Service Strategy (ISS) before receiving training services. The case file must contain a determination of need for training services, as identified in the ISS must be documented in the youth case record.

OST may include the following activities:

(1) Classroom OST
(2) Work Experience (WEX), which is focused around occupational training rather than work-readiness skills

- Other recommendations for training in the area of positive social behaviors include the following items activities to promote maintaining healthy lifestyles, including being drug and alcohol free, maintaining positive relationships with responsible adults and peers, contributing to the well-being of one’s community, voting, being committed to learning and academic success, remaining non-delinquent, postponed and responsible parenting.

Activity Code 417 - Comprehensive Guidance and Counseling
Referrals to counseling and guidance services are based on each participant’s objective assessment and ISS and may include but are not limited to the following services:

- Career guidance and vocational counseling
- Drug and alcohol abuse counseling
- Behavioral health
- Case management
- Counseling services exclude WIA case management

418, 480-494 Supportive Services Codes (See Section III-A)
Support services are services necessary to remove barriers to participation in PWC Youth Program activities. Youth program service providers are encouraged to coordinate services with other partner agencies. Examples include but are not limited to the following support services:

- Amounts paid to individuals who are enrolled in a training activity, and who would not be able to participate in the training program without needs-based assistance.
- Referrals to medical, behavioral health, and dental services; however, WIA does not pay for services
- Assistance with professional and other required work attire and work-related tool costs, including such items as eyeglasses and protective gear
- Assistance with childcare and dependent care costs
- Assistance with transportation costs
- Assistance with housing costs
Phoenix Workforce Connection Youth Program

- Provision of certificates and assistance with testing and licensing costs
- Incentives or needs related payments/stipends consistent with the individual service strategy

**Follow-up Services** (See Section II-H) - All PWC Youth Program participants must receive frequent, systematic follow-up services for not less than 12 months following exit. Youth program service providers should consider the intensity and needs of the participant in determining the appropriate level of follow-up services; however, a minimum of one follow-up service per month should be the providers’ practice. There are two purposes for conducting follow-up services:
  - Tracking, documenting, and reporting for performance outcomes
  - Identifying services and activities after placement in a job or enrollment/continuation in an educational program to facilitate retention

Follow-up services for participants may include but are not limited to the following services:
- Transportation
- Child Care or Dependent Care
- Housing
- Referrals to other Community Resources
- Referrals to Medical Services
- Assistance with uniforms or other work attire and work related tools
- Tracking Progress on the Job
- Work related Peer Group Support
- Assistance securing better paying job, career development and further education
- Adult Mentoring
- Assistance with Work Related Problems
- Tutoring
- Leadership Development
- Other services as appropriate

Follow-up services must be entered into VOS on a timely basis (within 45 days) following the end of the quarter.

**Activity Code 422 - Job Placement and Retention**

Job placement is provided to participants when the ISS goal is employment. Youth providers will utilize other entities in the system to provide sustainable and age-appropriate employment opportunities and ensure that participants remain on their targeted career path.
Retention services shall be provided to optimize job success. Job performance, punctuality/attendance, and employment related soft skills will be addressed to assist participants retain employment. Youth program service providers will continually evaluate the need for post employment supportive services that may be required to remove barriers to job retention. Employment may be used for work readiness skills 7-12 prior to exit.
BACKGROUND

The Workforce Investment Act adheres to a case management approach to service delivery. Integral to this approach is the maintenance of comprehensive services for each program participant. Case notes are one of the comprehensive tools that document the participant’s journey throughout the duration of the program.

POLICY

Case notes are used as a tool to help youth program service providers organize and analyze the information gathered on participants and to plan case management strategies. Recording case notes is critical because it weaves each service element into a comprehensive service plan. Youth program service providers utilize case notes to document the decisions and service strategies that determine the assessment, planning, resources, support services, and follow up that are designed to move participants to self-sufficiency.

All case notes MUST be entered in Virtual OneStop (VOS). When entering case notes in VOS, the title must clearly describe the content and correspond with open activity records.

Effective Case Note Documentation must have the following elements:

- Justification for enrollment
- Comprehensive picture of where the participant is throughout the process
- Record of movement throughout the process – successes, problems, changes
- Record of the strategies used to move the participant toward self-sufficiency
- Record of what decisions were made by the participant and youth program service provider and why those decisions were made
- Evidence of referrals made and resources used to assist the participant in resolving barriers to self-sufficiency.
- Organize and analyze data and plan an appropriate course of action.

There are two parts to recording case notes:

Data - Facts You Learned About the Participant. These facts are what the participant told the youth program service provider, what the youth program service provider observed, and/or information the youth program service provider received from other agencies. The data recorded should summarize the essential information being gathered. It should focus on the information that is most directly related to participant self-sufficiency.

Plan – Strategies to Support and Enhance Self-Sufficiency. The youth program service provider’s plan should be based on the data gathered and the analyses of the data.
This plan is different from the participant’s plan. The participant’s plan records what he/she is doing to make changes. The youth program service provider’s plan provides a record of the strategies the youth program service providers are using to attempt to support and encourage the participant in his/her plan to change.

**Case Note Guidelines:**

**Timeliness.** Case notes must be written a minimum of every 30 days. They should be written every time something significant occurs with the participant (i.e. new test scores, job interview, a period of absence from the training program, supportive services, new program activities, etc.).

**Concise and Clear.** Case notes must be clear and easily understood. Someone with no contact with the participant should be able to read the case notes and get an accurate picture of the participant. Good grammar and spelling should be used.

**Consistency.** There should not be gaps in either time or information. Case notes should reflect the participant’s work and progress throughout their participation in the PWC youth program. The case notes and the rest of the file should match and reflect the same information as the test scores, start dates, revisions, supportive services etc.

**Legality.** View case notes as a potential legal document. Case notes can and have been used as evidence in court. Ask yourself as you are writing, “would I want what I am writing to appear in court?” Also, make sure that you sign each case note.

**Problems and Solutions.** When documenting problems, also document solutions. For example, if you say “Participant not making progress”, then also suggest what you are doing to remedy the situation. For instance: “Participant not making adequate progress. I spoke to him about the training. He will receive individual tutoring in math and language to see if the situation improves.”

**Things to Remember:**
Do not label your opinions and judgments as facts. Be specific. Avoid sweeping generalizations. Summarize confidential information rather than recording it in detail. Keep documentation focused on how events in participant’s life will affect the plan.

**Do not allow anyone access to your VOS User ID for the purpose of entering data.**

**ADDENDUMS**

ISS, VOS, and Case Notes Reconciliation Table
BACKGROUND

In order to provide comprehensive workforce development services, all eligible youth should be assessed for deficiencies in one of the three skill attainment areas regardless of age. A core indicator of performance for younger youth (age 14-18) under WIA is the younger youth skill attainment rate. For all younger in-school and any appropriately assessed out-of-school youth, a minimum of one goal per year is required. However, all youth regardless of age must receive skill attainment training in one of the three areas based on individual needs. Skill attainment goals must be set and attained throughout youth participation in WIA.

POLICY

There are three (3) skill areas in which a skill attainment goal may be set: Basic Educational Skills, Occupational Skills, and Work Readiness Skills. A one goal minimum per participant year is required for all youth who assess in need of basic, occupational or work readiness skills. The Virtual OneStop system (VOS) will allow a maximum of three (3) goals per year for younger youth (14-18) only to be set for purposes of the skill attainment measure. VOS will not track older youth goals.

All goals set for WIA eligible youth must be tracked in the Individual Service Strategy, appropriate Skill Attainment Logs as stated in the Arizona Skill Attainment Manual, and VOS case notes. For all older youth (ages 19-21), all Skill Attainment Logs must be documented as “Older Youth: For tracking purposing only.”

Participants may have any combination of the three types of skill goals; three skill goals in the same category, two skill goals in one category and one skill goal in another, or one skill goal in each category, etc. However, you must set at least one goal, and if the youth is determined to be basic skills deficient (at or below 8.9), one of the goals must be basic skills.

Basic Skills Goals

Basic Education Skills are defined as those academic skills and abilities necessary and/or beneficial for a person to function successfully in an employment environment. Basic academic areas are Reading Comprehension, Math Computation, and Writing.

All participants who are determined to be basic skills deficient (defined as having English, Reading, Writing or Computing Skills at 8.9 or less on a generally-accepted standardized test or a comparable score on a criterion-referenced test) must have at least one basic skill goal to which the Phoenix Workforce Connection Youth Program will be held accountable in its Skill Attainment performance measure. The participant will continue to receive services year-round until the skill attainment goal is met. At this time, please refer to the Arizona Skill Attainment Guide.
Additional services may include assistance in attaining a high school diploma, assistance in obtaining a GED for dropouts, satisfying entry requirements for an apprenticeship program or post secondary school, or to develop the basic skills needed for entry level employment in specific occupations.

**Occupational Skills**

Primary occupational skills encompass the proficiency to perform actual tasks and technical functions required by certain occupational fields at entry, intermediate or advanced levels. Secondary occupational skills entail familiarity with and use of set-up procedures, safety measures, work-related terminology, record keeping and paperwork formats, tools, equipment and materials, and breakdown and clean-up routines.

The attainment of Occupational Skills indicates that the participant had demonstrated proficiency in those technical occupational skills necessary to maintain employment in a certain occupation or occupational cluster. Occupational skills are divided into two certain groups:

1. On-site training which can be accomplished by training contracts such as Work Experience
2. Classroom Training components designed to provide training in a minimum of six (6) occupational skills as set forth by industry generated requirements

The Occupational Skill Assessment (OSA) may identify a participant’s deficiencies in the skills needed for employment in an occupation. If not by the OSA, the Occupational Skill Attainment Log (JT 036-3) will identify deficiencies. Deficiencies will be noted on the ISS and training will be provided to help the participant attain an agreed upon skill level. Post assessment will be the supervisor/instructor assessment of participant skills by actual paper/pencil and/or observation.

**Work Readiness**

Work Readiness Skills include world of work awareness, labor market knowledge, occupational information, values clarification and personal understanding, career planning and decision-making, and job search techniques (resumes, interviews applications, and follow-up letters). They also encompass survival/daily living skills such as using the phone, telling time, shopping and renting an apartment, opening a bank account, and using public transportation.

Work Readiness Skills also include positive work habits, attitudes, and behavior such as punctuality, regular attendance, presenting a neat appearance, getting along and working well with others, exhibiting good conduct, following instructions and completing tasks, accepting constructive criticism from supervisors and co-workers, showing initiative and reliability, and assuming the responsibilities involved in maintaining a job.
Participants must be assessed as deficient in at least five (5) of the twelve (12) work readiness skills to be eligible for a Work Readiness Skill attainment outcome. Participant must demonstrate proficiency in all twelve (12) skills to attain a work readiness goal. The twelve Work Readiness Skills are listed below:

<table>
<thead>
<tr>
<th>Work Readiness 1-6</th>
<th>Allowable WIA activity/service for</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Making Career Decisions</td>
<td>WR Skills 1-6 is #410 Leadership</td>
</tr>
<tr>
<td>2. Using Labor Market Information</td>
<td>Development. WR must be</td>
</tr>
<tr>
<td>3. Preparing Resumes</td>
<td>documented in case file, i.e. post-</td>
</tr>
<tr>
<td>5. Interviewing/Follow-Up Letters</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Work Readiness 7-12</th>
<th>Allowable WIA activities/services for WR</th>
</tr>
</thead>
<tbody>
<tr>
<td>7. Being Consistently Punctual</td>
<td>Skills 7-12 are; #407 WEX, #400</td>
</tr>
<tr>
<td>8. Maintaining Regular Attendance</td>
<td>Summer Employment and/or current</td>
</tr>
<tr>
<td>9. Demonstrating Positive Attitudes/behavior</td>
<td>employer. WR must be documented in</td>
</tr>
<tr>
<td>10. Presenting Appropriate Appearance</td>
<td>case file, i.e. evaluations, timecards,</td>
</tr>
<tr>
<td>11. Exhibiting Good Interpersonal Relations</td>
<td>WEX Agreement, etc.</td>
</tr>
<tr>
<td>12. Completing Task Effectively</td>
<td></td>
</tr>
</tbody>
</table>

**THINGS TO REMEMBER**

- If Basic Skill Deficient, one of the goals set in VOS must be Basic Skills.
- Enroll the participant in the activities/services that is appropriate for the goal you are setting.
- The first goal must be set on the Individual Service Strategy (ISS) and in VOS.
- The first Skill Attainment Goal must be set within 30 days; however, the date will revert back to the date of participation.
- Skill Attainment Goal(s) must be attained within one year from the date the goal was set or by program exit, whichever occurs first.
- If the goal set is not attained by the one-year anniversary date or by exit, it is considered a failure.
- If a Goal is set on ISS; State what goal, level, etc. and any other pertinent information relating to the goal being set.
Addendums
OJT 036
Work Readiness Skills Chart
Skill Attainment documentation Checklist
Technical Assistance Desk Review
Skill Attainment Matrix
Skill Attainment Manual
BACKGROUND

The term “exit” is being used in the Workforce Investment Act to determine when to count an individual for performance measurement. Each individual becomes part of an exit cohort, a group who is determined to be “exiters” within a particular quarter.

POLICY

The term program “Exit” means a participant does not receive a service funded by the program or funded by a partner program for 90 consecutive calendar days and is not scheduled for future services.

There are two types of Program Exit:

- Once a participant has not received any services funded by the program or a partner program for 90 consecutive calendar days and has no planned gap in service, the date of exit is applied retroactively to the last day on which the individual received a service funded by the program or a partner program, which is determined by the last actual end date in VOS activity records and case notes.

- A participant should be exited from the PWC Youth Program when the services identified in the Individual Service Strategy (ISS) are completed. Additional partner services or funded PWC Youth Program services that are included or added to the ISS can extend the date of an exit.

A participant may be placed into a gap in service when a situation arises that will temporarily prevent program participation for greater than 90 consecutive calendar days. This allows participants time to address barriers to continued participation. A gap in service must be related to one of the three circumstances identified below:

- Delay before the beginning of training
- Health/medical condition or providing care for a family member with a health/medical condition
- Temporary move from the area that prevent the individual from participating in service.

A gap in service may be extended an additional 90 consecutive calendar days for a total of 180 days to resolve the issues that prevent the participant from completing program services. The additional gap in service must be related to one of the two circumstances identified below:

- Health/medical condition or providing care for a family member with a health/medical condition
- Temporary move from the area that prevent the individual from participating in service.
In the Virtual One-Stop (VOS), the extension would be accomplish by ending the initial gap – (001) and creating another gap in service that would not be more than 90 consecutive calendar days. A delay in the beginning of training is not an appropriate reason to extend a gap in service for an additional 90 days. If this occurs, other training options should be explored with a different training provider.

The VOS system does not recognize a gap in service as an activity or service. Therefore, participants must also be enrolled in the original scheduled activity at the time the gap in service became necessary for the VOS system to automatically close the case on the 91st day. The end date of the activity must match the end date of the gap in service for an automatic exit. If the participant requires additional services, the activity must be keyed into VOS prior to the 91st day so an automatic exit does not occur.

Follow-up, case management, and support services do not qualify as VOS activities that extend the exit date. There are several actions that staff must take to prevent continued exit date extensions.

- Do not enter a supportive service activity record into VOS beyond the last date of service or planned exit date.
- Enter a case note entry into VOS to reflect any supportive service justification and expenditures that occur beyond the planned exit date.
- Complete the Case Closure Screen on individuals who have completed program activities and attained goals, credentials & employment. Do not enter any program activities into VOS after Case Closure screen has been completed.

For situations where a Wagner-Peyser program activity has extended a WIA program participant exit date:

- Do not enter any additional program activities into VOS.
- Ensure continued contact with the WIA program participant to ensure employment retention. A Wagner-Peyser activity indicates the participant is still conducting a job search and may not be employed or is not satisfied with an existing job.
- If additional services, such as supportive services are required for employment retention, enter the justification into the case notes and do not enter a supportive service program activity into VOS.

Participants in the following categories, either at the time of exit or during the first three-quarters following exit, will be excluded from performance. A manual exit must be created for a youth in this situation prior to the 90 day system generated exit. Written documentation is required.
Institutionalized – The participant is residing in an institution or facility providing 24-hour support, such as a prison or hospital, and is expected to remain in that institution for at least 90 days or more.

Heath/Medical or Family Care – The participant is receiving medical treatment or providing care for a family member that precludes entry into unsubsidized employment or continue participation in the program.

Deceased – Self explanatory

Reservist Called to Active Duty – The participant is a reservist who is called to active duty for at least 90 days or more.

Relocated to a Mandated Residential Program – The participant is in the foster care system or any other mandated residential program and has moved from the area as part of such a program.
BACKGROUND

Follow-up services must be made available to all WIA youth for a minimum duration of twelve months after exit. The types of services provided and the duration of services must be determined based on the needs of the individual. The goal of follow-up services for youth is to enable participants to continue life-long learning and achieve a level of self sufficiency to ensure job retention, wage gains, and career progress. In order to attain desired follow-up services, service providers need to go beyond phone calls and other periodic contacts. It may be beneficial to follow-up with both customers and their employers.

POLICY

The emphasis of follow-up services is job retention and advancement, lifelong learning and self-sufficiency. Program providers must conduct follow-up frequently enough to address any issues the participant is currently facing. Follow-up is critical to ensure successful, long-term employment. The follow-up provided must be based upon individual participant’s needs. All participants must receive follow-up services for a minimum duration of 12 months after exit. Follow-up services are recorded in VOS on the follow-up screens.

Follow-up agreements should be signed and mutually agreed upon by both the youth provider and program participant. Follow-up services should be discussed during eligibility and participation. Program participants must agree to participate in follow-up services.

Participants in the following categories, either at the time of exit or during the first three quarters following exit, will be excluded from performance. Exclusions must be recorded in VOS, and written documentation must be in the file.

- Institutionalized
- Health/medical or Family Care
- Deceased
- Reservist Called to Active Duty
- Relocated to Mandated Residential Program

Follow-up Service Process for Successful Outcomes:

- Develop a written exit strategy based on the participant’s individual needs before he/she exits the program
- Follow-up agreement signed and a copy given to participant
- Build in follow up into the service strategy from the very beginning
- Maintain regular contact with participant
If the participant can not be located, utilize follow-up contacts listed in the participant’s file, UI database search(s), and/or school/employer contact. City staff has the ability to search the UI databases; however, PWC recommends that each youth provider establishes a “sharing agreement” with the Arizona Department of Economic Security.

If a participant refuses follow-up services, the youth provider is required to continue offering follow-up services for the 12-month duration. The refusal of services must be documented in case notes and follow-up screens.

Addendum

Follow-Up Agreement
SECTION THREE

PHOENIX WORKFORCE CONNECTION
SUPPORT SERVICES/TRAINING

III-A ........ SUPPORT SERVICES/NEEDS RELATED PAYMENTS

III-B .................................................. WORK EXPERIENCE (WEX)

III-C ........OCCUPATIONAL TRAINING AUTHORIZATION (OTA)
BACKGROUND

Support services for youth are necessary to engage WIA eligible youth, who cannot afford to pay for such services, to participate in authorized WIA activities outlined in the Phoenix Workforce Connection’s 11 program elements. Support Services may only be provided to youth who are unable to obtain services through other programs available or made available to the participant.

POLICY

Support services may include but not limited to transportation, childcare, dependent care, housing, and needs-related payments. Youth program service providers must coordinate support services with Child Support, Food Stamps, Medicaid, Children’s Health Insurance Program and other partner agencies when possible.

All support services must be reasonable and necessary to remove a barrier to completing an educational training program, work experience, leadership development and/or retaining/accepting employment. For example, rent should not be paid if a partner service can be obtained, such as the City of Phoenix Family Services Center Rental Assistance Program. The table below illustrates the item and maximum cost for each participant per participant year.

<table>
<thead>
<tr>
<th>Support Services</th>
<th>Amount</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Uniform/Tools</td>
<td>$250</td>
<td>Based upon need – Not to Exceed</td>
</tr>
<tr>
<td>School Clothing</td>
<td>$200</td>
<td>Based upon need – Not to Exceed</td>
</tr>
<tr>
<td>Clothing for Interview</td>
<td>$150</td>
<td>Based upon need – Not to Exceed</td>
</tr>
<tr>
<td>Occupations Needs</td>
<td>$300</td>
<td>Based upon need – Not to Exceed</td>
</tr>
<tr>
<td>Health Related Services</td>
<td>$500</td>
<td>Based upon need – Not to Exceed</td>
</tr>
<tr>
<td>Child Care Related Services Licensed by the State of Arizona (Coordinate with DES, DES Certified)</td>
<td>$$$$</td>
<td>Based upon need. Must coordinate with DES for eligibility to receive free or low-cost child care services. Child care support services should not be an on-going service paid through WIA funds.</td>
</tr>
<tr>
<td>Education Material (Text Books)</td>
<td>$400</td>
<td>Based upon need – Not to Exceed</td>
</tr>
<tr>
<td>Food (During work-experience, leadership development, and/or training ONLY)</td>
<td>$10 a day or $500 a year</td>
<td>Based upon need – Not to Exceed</td>
</tr>
<tr>
<td>Rent</td>
<td>$750</td>
<td>Based upon need – Not to Exceed</td>
</tr>
<tr>
<td>Utility</td>
<td>$300</td>
<td>Based upon need – Not to Exceed</td>
</tr>
<tr>
<td>Transportation (General)</td>
<td>$750</td>
<td>Based upon need – Not to Exceed Per Year</td>
</tr>
<tr>
<td>Car Repair</td>
<td></td>
<td>Per Month</td>
</tr>
<tr>
<td>Gasoline Cards (During Training Education/ Employment Only)</td>
<td>$100</td>
<td>$750 Per Year</td>
</tr>
<tr>
<td>Bus Passes</td>
<td>$$$$</td>
<td>• No more than $270 for youth 18 years and younger (22.50 per month)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• No more than $540 for youth 19-21 (45.00 per month)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• No more than $17 for youth 18 years and younger ($1.25 per day)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• No more than $34 for adults ($2.50 per day)</td>
</tr>
<tr>
<td>Bus Passes</td>
<td>$$$$</td>
<td>Per Occurrence</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• No more than $270 for youth 18 years and younger (22.50 per month)</td>
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</tr>
<tr>
<td></td>
<td></td>
<td>• No more than $34 for adults ($2.50 per day)</td>
</tr>
</tbody>
</table>
To qualify for support services, the youth must:

- Demonstrate a need that will prevent him/her from successfully accessing services, training or accepting/retaining employment; and
- Be unable to afford the cost associated with addressing the need; and
- Be unable to secure the need services elsewhere.

Examples of support services that are necessary to remove barriers to participation in PWC Youth Program activities include referrals to medical, behavioral health and dental services; assistance with professional and other required work attire and work-related tool costs, including such items as eyeglasses and protective gear; assistance with childcare and dependent care costs; assistance with transportation costs; and assistance with housing costs. All support services activities must be justified in case notes.

Incentives may also be given to WIA participants when certain goals and/or activities are completed. Incentives must be reasonable. Youth provider staff must follow internal procedures to dispersing incentive payments. Incentives must also be documented in the case file and VOS case notes.

Needs Related Payments (NRP) is also part of the PWC Youth Program supportive services that may be provided to participants who are in training if there is:

- Justification that is consistent with the ISS of a need(s) to remove economic hardship barriers to ensure successful participation/completion in a current training activity.
- Determination that payments in the form of NRP/stipends will promote positive performance outcomes by motivating continued program participation and achievement of goals.
- Justification is clearly noted in case notes.

The NRP shall not exceed two weeks per occurrence, and each participant can not have more than two occurrences per participant year. Participant may receive a NRP of $10.00 for each day of participation in a specific training activity. The NRP shall not exceed $50.00 per calendar week, provided the following criteria are met:

- The WIA participant is low income, and he/she is not receiving in their name any type of wage, income, and/or cash subsistence payment, i.e. Temporary Assistance for Needy Families (TANF), Social Security, Unemployment Insurance (UI), PELL Grants used for subsistence, etc.

All support services must be clearly documented in the case file and case notes/program activity. The case file must include all documentation that substantiates the need for support services. The financial documentation must include copies of vouchers, checks, itemized receipts (training receipts are not acceptable), gift cards, etc. Cash assistance
(i.e. incentives) and needs-related payments are not allowable follow-up services after exiting the program.
BACKGROUND

Work Experience (WEX) is a paid/non-paid Workforce Investment Act (WIA) activity designed to enable participants to gain work maturity, occupational skills, and exposure to the working world. The WEX should help participants acquire the personal attributes, knowledge, and skills needed to obtain a job and advance in employment. The work experience provides participants with the opportunities for career exploration and skill development. Work experience should focus around high demand occupations as well as the Phoenix Workforce Connection industry clusters.

POLICY

The WIA participant may enter into more than one paid WEX activity prior to exit from the PWC Youth Program, but the maximum number of hours per participant for all work experience activities is 200 hours per program year. For those youth participating in the YouthBuild Program, work experience will not be hourly based but considered a weekly stipend of no more than $150. All WEX agreements must be approved by the Phoenix Workforce Connection (PWC) Youth Program Coordinator and/or designee. The approval process for a WEX Agreement takes 5 working days and may take longer if corrections are needed. Participants can not take part in a work experience activity until the “Work Experience Agreement” has been approved by the PWC Youth Program Coordinator and/or designee.

Youth program service provider and participant mutually review and determine the feasibility of utilizing a work experience activity. The activity must focus on the development of appropriate work habits and work ethics to include an understanding of employer/employee relationships. Work experience should be targeted to high-demand occupations and/or Phoenix Workforce Connections industry clusters. The youth provider may utilize other industries with the approval of the Youth Program Coordinator. The work experience must focus on career exploration, skill development, and/or training.

The youth provider must also assess the suitability and feasibility of offering the participant a work experience at this time. The assessment should answer the following questions:

- Does the participant’s background, needs, interests, and abilities support the WEX activity?
- Are barriers to the WEX activities identified, resolved and/or determined not to have an impact on participation in the planned WEX activity?
- Has it been mutually determined by the youth program service provider and participant that the participant would benefit from the WEX activity?
The Community and Economic Development Department and Phoenix Workforce Connection have identified six targeted industry clusters for use of WIA work experience and skills training funds, which includes:

1. Healthcare
2. Biosciences
3. Advanced business services
4. Aerospace/defense
5. High-tech/advanced manufacturing
6. Information Technology/software

Contractors will ensure that at least 70% of all youth who participate in work experience opportunities will be exposed to the six industry clusters identified as high growth, high wage, and high demand industries. No more than 30% can be spent on other industry clusters in demand occupations.

The selection of a worksite for paid and/or unpaid WEX(s) is determined by the needs of the participant/employer and the high-demand/industry cluster occupations. The employer agrees to provide work-related activities for the participant(s) to develop basic work habits, learn occupational skills, and gain usable "Work Experience" to promote future employment at the worksite. "Work Experience" activities will not reduce current employee’s work hours, displace current employees or create a lay-off of current employees, impair existing contract or collective bargaining agreements, and/or infringe upon the promotional opportunities of current employees.

The employer and youth contractor must maintain records and prepare reports on the participant as prescribed by the youth program service provider. The employer and youth contractor must observe and comply with applicable safety and health standards; observe Workers Compensation and the Youth Labor Laws of Arizona and the Federal Government; maintain sufficient general liability insurance for tort claims protection; and allow the youth program service provider and/or duly authorized representatives to visit the premises to observe work place conditions, observe work place activities, and follow up with the participant.

Safety is also a crucial part of all work experience activities for all PWC Youth Programs. Health and safety standards applicable to all Youth Programs include using OSHA 300, 300A, and 301 forms, or equivalent forms, for recording injuries and illnesses to the city of Phoenix and when applicable, to the Department of Labor (DOL). The OSHA 300 form is called the Log of Work Related Injuries and Illnesses, the 300A is the Summary of Work Related Injuries and Illnesses, and the OSHA 301 form is called the Injury and Illness Incident Report. Copies of the forms are available online at:
For the YouthBuild Program, the city is requiring that all contractors:

- Provide comprehensive safety training for youth working on YouthBuild construction projects;
- Have written, jobsite specific safety plans overseen by an onsite supervisor with authority to enforce safety procedures;
- Provide necessary personal protective equipment to youth working on YouthBuild projects; and
- Submit to the city the OSHA 301 Injury and Illness Incident Report within seven days of any reportable injury suffered by a YouthBuild participant. Reportable injuries include those that result in death, days away from work, restricted work or transfer to another job, medical treatment beyond first aid, or loss of consciousness.

WEX Process. When a youth program service provider identifies a potential worksite match between a participant and employer, the youth program service provider staff will review the WEX opportunity with the participant and evaluate the participant’s interest. The youth provider program manager authorizes all "Non-Paid Work Experience." The PWC Youth Program Coordinator or designee authorizes all “Paid Work Experience.”

For the subsidized WEX, the youth provider will:

- Arrange worksite interview(s) with the employer
- Complete a WEX Agreement
- Complete the Addendum to identify work schedule
- Submit the ISS
- Ensure justification for WEX is in file and case notes
  - Does the WEX match the participant’s interest?
  - Has the participant accomplished Work Readiness 1-6?
  - Is the participant successfully accomplishing goals, meeting appointments, raising basic skill deficiencies, etc.?
  - Did the youth provider and participants explore high-demand occupations and/or industry clusters?
  - Why was the worksite chosen?
  - How does the WEX relate to the youth’s overall goals, occupational training, etc?
- Submit skill attainment records
- Submit labor market information
The youth provider must submit the WEX paperwork to the PWC Youth Program Coordinator or designee one week prior to participant's proposed WEX activity "Start Date." The paper work will be reviewed to ensure completion of all information is accurate.

For the YouthBuild Program, WEX paperwork will not be approved unless all necessary Work Site Description (WSD) and Individual Housing Project Site Estimate (IHPSE) forms have been processed and approved. YouthBuild contractors must submit all forms for all residential and public facilities to be used for on-site construction training for participants prior to the approval of the WEX agreement. These forms can be found at [www.doleta.gov/youth_services/General_YouthBuild_Information.cfm](http://www.doleta.gov/youth_services/General_YouthBuild_Information.cfm). The forms identify the location of the on-site construction, type of housing, type of resident to benefit from the construction, site estimate, number of units, owner and evidence of site access. Please note that no more than 10 percent of grant funds may be used in the rehabilitation or construction of community and other public facilities. Public facilities include but not limited to health care clinics, schools, and community centers. The remaining 90 percent of funds must be used to train participants in the rehabilitation or construction of low-income housing.

The youth provider must ensure the ISS correlates with the WEX service mix. The youth provider must also verify TABE scores are at or above those required for the activity. If the WEX is being used as demonstration of Work Readiness Skills for Younger Youth, review Individual Service Strategy (ISS) for established need and ensure that the first six classroom training skills have been completed or are in the process of completion.

**Approval/Denial Process.** PWC staff require, at a minimum, five (5) working days for the approval process. The process may take longer if corrections are needed. Upon approval by the PWC Youth Program Coordinator, the PWC Staff will notify the youth program service provider by e-mail and phone that the WEX has been approved and;

- The PWC Youth Program Coordinator or designee will submit a copy of the approved/authorized WEX Agreement (Pages 1, 2 & 3) to the Community and Economic Development Department (CEDD) Fiscal Section.

- The PWC Staff will forward the original approved WEX Agreement plus attachments back to the appropriate Youth Program Service Provider within 48 hours and;

- CEDD Fiscal Staff will return a copy of the approved WEX Agreement back to PWC Staff (W/Fiscal date stamp or approval) to be filed by the PWC Staff according to internal filing practices.
If after review, the recommendation is not favorable or additional information is needed to approve the work experience, the PWC Youth Program Service Coordinator or designee will notify the youth program service provider designee immediately by e-mail or phone.

**Fiscal Process.** Upon participant's completion of WEX activities, the youth provider program manager will review, sign, and submit the following documentation to CEDD’s Fiscal Section for review and reimbursement:

- Completed "Training Invoice" and supporting documentation for reimbursement. (Invoiced amount must match the approved WEX amount.)
- All paid work hours are recorded on the participant's "Paid Work Experience Time Sheet" and copies of the participant's paychecks that support the amount paid to the participant must be attached to the invoice when submitted for reimbursement.
- For WEX reimbursements, the employer's portion of the participant's fringe benefits will be reimbursed at approximately twelve percent (12%) of the participant's gross wage amount without submitting supporting documentation.
- Requests for fringe benefit reimbursement in excess of twelve percent (12%) of the participant's gross wage amount will require supporting documentation (i.e., payroll report that shows FICA-employers portion, state unemployment insurance and/or any other reimbursable fringe benefits). This paperwork must be included with the invoice when submitted for reimbursement.
- "Original Receipt(s)" for work-related items purchased for the participant (i.e., tool belt, steel-toed shoes, uniforms, tools, safety glasses, etc.) may be included with the initial invoice when submitted for reimbursement.

**Revised WEX Agreements.** WEX Agreements may need to be revised, utilizing the "Work Experience Revision Form." The youth provider must complete the "Work Experience Revision Form" by completing the required information indicated on the form, and then forwarding the form and all applicable supporting documentation to the PWC Youth Program Coordinator or designee. **WEX revisions are due within 24 hours of any change to the original work experience agreement. If the revision is not received, the revision may be denied, which will affect the reimbursement process, (i.e. denying reimbursement for additional hours completed, etc.)** The PWC Youth Program Coordinator or designee will review/update records and forward "Work Experience Revision Form" to CEDD’s Fiscal Section. CEDD’s Fiscal Section will reimburse for "Paid Work Experience" in accordance with the WEX "Beginning" and "End Date" documentation as specified on the participant's time sheets for the period of reimbursement. Failure to submit timely information will result in payment/reimbursement delays.
### WEX Documentation

The youth program service provider will record all WEX activities into the case management system. Participant hard copy files must contain the required WEX documentation:

- Work Experience Worksite Agreement and Addendum
- Individual Service Strategy
- Skills Acquisition Record(s) as applicable
- Paid Work Experience Progress Report/Timesheet
- Work Experience Revision Form (if applicable)
- Labor Market Information
- Copies of paychecks

### ADDENDUMS

- WEX Check List
- WEX Agreement
- WEX Revision


BACKGROUND

Occupational Skills Training (OST) is one of the Workforce Investment Act (WIA) 11 required elements. OST is utilized by youth program service providers to refer participants for training activities. The training assists participants in acquiring and demonstrating the essential occupational competencies and skills that will qualify them for employment plus establish the first-step on a career path toward self-sufficiency. When the youth providers are recommending OST, high demand and industry cluster occupations must be reviewed and explored with participating youth. The youth providers must also utilize career path programs for all occupational training when appropriate.

POLICY

All training services are based upon the availability of WIA funds. The limit for training services through an Occupational Training Authorization (OTA) is up to $3,000 per participant. All training must be on the State's Eligible Training Provider List at www.ade.az.gov/arizonaheat.

The Community and Economic Development Department and Phoenix Workforce Connection have identified six targeted industry clusters for use of WIA occupational training funds, which includes:

1. Healthcare
2. Biosciences
3. Advanced business services
4. Aerospace/defense
5. High-tech/advanced manufacturing
6. Information Technology/software

Youth providers must ensure that at least 70% of all youth who participate in work experience opportunities will be exposed to the six industry clusters identified as high growth, high wage, and high demand industries. No more than 30% can be spent on other industry clusters in demand occupations.

Youth program service providers must leverage available funds for training, including Pell Grants to ensure that the costs of training and support services are fully paid for participants, and to reduce the likelihood of duplicate payments for such services. The participant must apply and receive verification for Federal Student Aide prior to training service approval.
Federal Student Aid ensures that all eligible individuals can benefit from federally funded or federally guaranteed financial assistance for education beyond high school. Case workers should assist WIA eligible youth in filling out the Free Application for Federal Student Aid (FAFSA) at www.fafsa.ed.gov/. **Training will not be approved by the city of Phoenix until the FAFSA award letter is available.**

All OTAs must be submitted for approval five (5) business days prior to the OST start date. An additional three days are required for revisions, if corrections are needed. Participants can not take part in an OST activity until the OTA has been approved by the Phoenix Workforce Connection (PWC) Youth Program Coordinator.

Youth program service provider will utilize the following operational procedures for referring participants to OST:

- Ensure that the decision for entry into OST correlates with the participant’s Individual Service Strategy (ISS).
- Review labor market information for availability of jobs in the OST area.
- Make OST referrals based on the participant’s ability to perform and progress at a reasonable pace, i.e. TABE scores and educational background meet required/appropriate levels for the OST selected.
- Ensure participant successfully completes the respective OST, and acquires the minimum job specific skills, knowledge and abilities necessary to perform related jobs adequately and competitively.
- Refer participant to an appropriate Eligible Training Provider currently on the State’s Eligible Training Provider List (ETPL) for OST. The selected trainer listed in the Eligible Training Provider is based upon the following criteria: quality of training, cost of training, length of training, competencies expected to be achieved, and accessibility of training site to participant.

Youth program service provider must obtain OST approval utilizing the OTA approval process. All Occupational Training Authorizations must be sent to the City of Phoenix for approval. Youth program provider staff must prepare the following documents to request occupational training authorizations:

- OTA Training Review Checklist
- OTA Voucher (3-part)
- FASFA documentation stating youth is eligible or ineligible for financial aid, must also include award amount.
- Skill Attainment Log, if applicable
- ISS indicating that participant goal(s) correlate with proposed training, which includes a clearly stated justification for the OST.
- Eligible Training Provider acknowledgement letter written on letterhead that includes the training curriculum, cost, and Pell Grant funding if applicable.
The OTA Voucher must include the following items:
- The numbers of training hours including the training “Start” and “End Dates”
- Total tuition costs
- Appropriate ancillary costs (community college bookstore costs) are included in the total cost.
- Eligible Training Provider proposed training schedule
- Information noting potential Pell Grant fund amount applied to training costs

Youth provider program manager must review OTA request with youth program service provider staff and initial the OTA form to indicate approval. The youth program provider must obtain the participant’s signature on the OTA and make appropriate copies for the hardcopy file. Staff then must forward the completed OTA packet of required original documentation to the PWC Youth Program Coordinator or designee no later than 5 working days prior to the OST start date. Participants can not take part in OST activities until the OTA has been approved by the PWC Youth Program Coordinator or designee. The PWC Youth Program Coordinator or designee shall review the OTA packet to ensure appropriateness and quality of the training, vendor acknowledgment letter of training content, and approved cost (reasonable and necessary). City staff will also review the ISS and case notes to verify the service mix of each OTA for appropriateness, service strategies, and coordination of Pell Grants.

**Approval/Denial Process.** Upon OTA approval, the PWC Youth Program Coordinator or designee will sign and date the OTA and return the original OTA and all attachments to the youth program service provider, forward copies to the Community and Economic Development Department (CEDD) Fiscal Section and file a copy according to internal filing practices.

- PWC Staff will return the White and Pink copy of the OTA and all attachments to the Youth Program service provider and notify them by email or phone that it has been approved
- PWC Staff will forward the Yellow copy of the OTA, OTA Checklist & School Cost to the Community and Economic Development Department (CEDD) Fiscal Section and ;
- CEDD Fiscal will return the Yellow Copy of the OTA, OTA Checklist & School Cost documentation back to the PWC Staff and it will be filed in the internal process

If after review, the OTA is not approved and additional information is needed, the PWC Youth Program Service Coordinator or designee will notify the youth program service provider immediately by e-mail and phone. The youth program service provider must
provide the requested documentation and re-submit the OTA. Upon receipt of the corrected OTA, the PWC Youth Program Coordinator or designee has 3 working days to complete the review.

OTA Revision Process. The PWC Youth Program Services Coordinator or designee must be notified of any OTA status changes within 7 calendar days of the occurrence (i.e. delays, terms, placements, etc.) Youth provider staff must document participant status changes on the “Program Status Revision Form” and submit to the PWC Youth Program Coordinator or designee. Status changes include:

- Delay of Training (participant is not able to begin the approved training on the scheduled start date)
- Extensions (due to circumstances participant is not able to complete training by the schedule end date)
- Training Changes (participant does not intend to begin training due to training cost, term, program, and or program changes)

The youth provider must submit all voided OTAs to the PWC Youth Program Coordinator or designee. The PWC Youth Program Coordinator or designee will conduct a monthly review of OTAs, and provide all youth program service providers with a report by the 1st Friday following the end of the previous month for review and reconciliation.

Out-of-Area Training. Requests for out-of-state training will not be accepted in the PWC Youth Program.

ADDENDUMS
OTA Checklist
Copy of OTA Form
OTA Revision
OTA Tracking Form
SECTION FOUR

PHOENIX WORKFORCE CONNECTION
TRACKING/PERFORMANCE
OUTCOMES/PROGRAM MONITORING

IV-A .................................................. HARD COPY FILE PROCESS
IV-B ................................................. THE VIRTUAL ONE STOP SYSTEM (VOS)
IV-C ................................................. CUSTOMER SATISFACTION
IV-D .............................................. PERFORMANCE MEASURES/OUTCOMES
IV-E ................................................. PROGRAM MONITORING
BACKGROUND

The VOS system assists in maintaining documentation for each WIA participant. The WIA participant’s Official Case File is the electronic VOS file. However, youth providers must also maintain a hard copy file to document all relevant information pertaining to the participation.

POLICY

Youth providers must maintain a hard copy file to document eligibility requirements in accordance with State requirements. Also, all documents that require an applicant signature must be maintained in the hard copy file. All providers are required to use the Case File Review Form and Checklist on all WIA Youth participants. The information that must be maintained in the file includes but is not limited to eligibility information, VOS documentation, assessment Information, financial information, WEX/OTA/Contracts, and other miscellaneous information. Please refer to the Case File Review Form in the addendum sections.

The following documents (hard copy) are required in the individual's case file:

- WIA Youth Application
- All documents required by VOS to document applicable eligibility items, including, but not limited to:
  - Citizenship
  - Date of Birth
  - Family Income
  - Family Size
  - Pell Grants
  - Receipt of Public Assistance
  - Right to Work
  - Social Security Number
  - Substance Abuse
  - Substantial Disability
  - Underachiever
  - Youth Barriers
- Grievance/Participant Rights Forms signed and dated by the applicant
- Release of Information Forms signed and dated by the applicant
- ISS signed and dated by the applicant and staff
- ISS Revisions signed and dated by applicant and staff
Phoenix Workforce Connection Youth Program

Section: IV - A  Hard Copy File and Retention  Page 2 of 3

Federal Register/Vol. 65, No. 156 — §667.300
Public Law WIA Section 134, 111(a), 185(c), 188
Virtual One Stop System (VOS) Bulletin #03-04, Attachment A and B

- Proof of Employment (Employment Verification Forms, Letters from Employers, Check Stubs, etc.), if applicable
- Proof of Credential and Date Attained (Copy of Credential, Letter from School, etc.), if applicable
- Older Youth Status at Exit/Follow up (Advanced Training or Post-Secondary Ed.), and relevant documentation
- Younger Youth Status at Exit/Follow up (for attained H.S. Diploma or GED), and relevant documentation (attendance records)
- Younger Youth Placement Information at Exit/Follow up (Selections 1-5)
- Other Exit Reason (Institutionalized, Health/Medical, Deceased, Reservist called to Active Duty)
- GAP (Waiting for Planned Activities or Health/Medical or Time and Attendance Records)
- Receipts, invoices, etc.
- Any other documents requiring the applicant/participant signature or required by VOS
- Any other documents required by the LWIA or State Grant procedures or work statement Occupational Training Account
- Skill Attainment documentation
- Objective Assessment documentation
- Case Notes
- WEX documentation
- OTA documentation
- Any other relevant documentation, such as progress reports & attendance records.

Record Retention - The official VOS Records are maintained by the State of Arizona. However, Hard Copy File Records of WIA local participants must be retained for five years after exit. Applications that do not result in registration are maintained on file for one year after the date of application, including supporting documentation. The City reserves the right to ask for the records throughout the duration of the five years.

Transfer of WIA Client Files from/to PWC to/from another local area or provider – A primary factor in the Department of Economic Security’s (DES) choice of the Virtual OneStop system is the system’s ability to transfer customer’s files electronically. As there are no residency requirements for receiving assistance at any workforce connection sites, the ability to transfer files benefits the customer and case manager by eliminating duplication of data input. Effective the date of PWC Guidance Letter #07-007
(May 7, 2007), the protocol for file transfers, both to another local workforce investment area and within the PWC to another provider/agency, is in effect.

ADDENDUMS

Case File Review Form and Checklist
BACKGROUND

The youth program service providers conduct Workforce Investment Act (WIA) eligibility determinations on applicants (14-21), and enter the data into the Virtual One Stop (VOS) computer data base. The VOS tracks eligibility determination, registration, service and training components that are provided to eligible participants.

POLICY

The following guidelines for entry of information into the VOS System establish uniformity and consistency in reporting requirements, and data entry time frames to ensure PWC Youth Program data accurately reflects operations, activities, services and performance outcomes.

Common Intake
The purpose of common intake is to glean basic information from the youth during the registration process. The information inputted during common intake automatically fills the information in the youth applications. Information gathered during common intake does not need to be verified. Verification only occurs during the youth application/eligibility process.

Eligibility
The youth program service provider shall complete the information required and verify eligibility documents on the VOS Youth Application for Registration screen. VOS does not track the ratio of economically disadvantaged youth compared to the total number of youth enrolled. All non-low income youth participants shall be counted in the 5% window category at the end of each month utilizing the attached form.

Youth Application
The youth application process determines and verifies the eligibility on individuals for the WIA Youth Program. Youth providers must verify all necessary information using the latest DES VOS Bulletin. A signed application and all necessary documentation for eligibility must be in the Hard Copy Case File prior to entering the youth in program activities.

Case Notes
The purpose of VOS case notes is to tell the story of the client’s participation in the program, which starts with the enrollment process. The first case notes should describe the client’s situation/suitability, and why they are enrolling into the program.
Application
The application date is the date that the eligibility process begins. If an application is not completed and saved within 45 days of the application– the system will lock the application and a new application has to be completed. If an application cannot be completed, the application can be “partially saved” until a later date; the 45-day limited would be still in effect.

The Date of Eligibility Certification is entered when the application is completed and all eligibility documentations are collected and verified in VOS. The youth providers must complete this field just prior to saving the application.

The “alternate contact” is an individual who can assist staff in locating and contacting the Client if contact is lost. A Youth must have at LEAST one alternate contact in order for the application to be completed. PWC requires two alternative contacts in the Hard Case File and VOS.

**Personal Information:** The Ethnicity & Race field is a required field; but if the Youth does not want to disclose their Ethnicity or Race they have an option not to provide the information.

If the Disability Field is marked “yes”, and proper verification is provided, the Client would be eligible to be considered a “family of one” for income eligibility purposes. A disabled youth, whose family does not meet income criteria, is considered low income, if the individual’s own income, separated from the household’s, meets the income eligibility guidelines. Documentation for all household members & their income must be documented in the case file (to show youth does not meet income criteria). Medical or behavioral health records must be sealed in a new envelope each time it is opened.

**Selective Service Registration Information:** Verification must be obtained if the gender is male and age is greater than 17. The “Exempted” may NOT be selected for the males over the age of 17.

**Veteran Information:** A person who (a) served on active duty for a period of more than 180 days and was discharged/released with other than a dishonorable discharge, (b) was discharged/released from active duty because of a service-connected disability, (c) as a member of a reserve component or national guard unit under an order to active duty, served on active duty for any length of time during a period of war or in a campaign or expedition for which a campaign badge is authorized and was discharged/released from such duty with other than dishonorable discharge.

Eligible Person (for Veterans Priority): a person who is the spouse of (a) any person who died of a service-connected disability, (b) any member of the Armed Forces serving
on active duty who, at the time of application, is listed by the Secretary concerned in one or more of the categories and has been so listed for a title of more than 90 days:
Missing in action, captured in line of duty by a hostile force or forcible detained or interned in line of duty by a foreign government or power, (c) any person who has a total disability permanent in nature resulting from a service-connected disability or who died while a disability was so in existence.

The Jobs for Veterans Act (Public Law 107-288), and the U.S. Department of Labor Training and Employment Guidance Letter #05-03, require the implementation of priority of services for veterans who are being served in U.S. Department of Labor job training programs. It is the policy of the Phoenix Workforce Connection (PWC) that all covered persons described in Section E (under Background) of Guidance Letter #05-03 receive priority of service when program requirements are met. This applies to all PWC sites, including contractors and sub-contractors. This policy is accomplished by giving veterans and eligible persons priority in the provision of employment and training services.

Furthermore, it is also policy of PWC to refer qualified veteran applicants and other covered persons to job openings and training opportunities in the following order of priority:
1. Special Disabled Veterans;
2. Veterans of the Vietnam Era;
3. Disabled Veterans; and
4. All Other Veterans and Eligible Persons.

**Employment Information:** If the youth discloses that he or she is currently working, the current or most recent hourly rate must be entered.

**Education information:** The Highest Grade completed is the last completed grade, i.e. the entire grade is completed. It is not the grade the participant dropped out of or currently attending. The School Status is determined at the time of enrollment and prior to the first WIA funded activity. Youth on summer break who are still enrolled in a school are considered to be In-School.

**Barrier Information:** In order for a youth to be eligible for WIA youth services, he or she must be low-income and have a barrier noted and verified in VOS. If the *Limited Reading, speaking, writing or understanding of English and is English a second language* is checked yes, the system will automatically set Basic Skills Deficiency to “yes”. Basic Skills Deficient is defined as English, reading, writing or computing skills are at or below the 8.9 level from an accepted standardized test. If youth is basic skills deficient, basic skills must be the barrier.
Public Assistance Information/Income Information: If any of the questions under this section are checked yes, verification is required. If the youth is living in a household that receives public assistance, and the youth is listed on the grant, the youth is considered low-income. Public assistance is excluded income and should not be counted in VOS as family income.

Special Youth Barriers: Special Youth Barriers should be used in moderation. This barrier should only be used if a Youth does not have a “Barrier” selected under Barrier Information in the VOS Application. Special Youth Barriers must be documented in the Hard Case File.

Youth facing serious barriers to employment are:
- Occupational Skills Deficient
- Defined as “at-risk” by the Local Education Agency
- Overage and under-credited
- Requires reasonable accommodations for special needs as addressed in Section 504 of School Law
- Deficient in at least 5 of 12 work readiness skills

Youth requires additional assistance are:
- Occupational Skills Deficient
- Defined as “at-risk” by the Local Education Agency
- Limited English speaking
- Youth considered disabled

Please remember that only one barrier is needed for eligibility. If more than one barrier is checked in VOS, proper documentation is needed for each barrier.

WIA Participation
The Participation Date is the date of the first WIA funded activity. The first activity for youth must be Objective Assessment. Creating a WIA Participation enters an individual into an Agency’s Case Load and into WIA Performance and/or Common Measures

Employment & Education Status may be different than at the time of application; therefore, please ensure this information reflects the status at the PARTICIPATION DATE. This Education Status field will determine In or Out of School Status for Contract and Performance purposes.

Activity Records (Participation)
The first WIA funded activity is Objective Assessment. The second activity should be the Individual Service Strategy (ISS) using the results of the assessments from Objective Assessment. Youth Providers can then start activities as they occur in real
time. (Use VOS Activity Code List as a guide, which is in the addendum section.) The ISS cannot be the only activity open for more than 60 consecutive days.

Please note that activity start dates cannot occur prior to the eligibility date. Activity start date should be the same as or after the original participation date. Projected begin and end dates can be changed throughout participation in an activity. Actual begin and end dates cannot be changed without administrator assistance. Be careful to reflect accurate information when opening and closing activities.

Program Outcomes
The Program Outcome screen is to be used only in a situation where an intentional exit occurs, and outcome information is known. A program outcome must be created within 45 days of the exit date (last date of activity). If not known, program outcomes can still be added.

Program Exit
An exit, which is system generated (closures of all VOS activity records and creation of the Case Closure), occurs when a participant does not receive a WIA funded services or by a partner program for 90 consecutive calendar days, which is based on the program activity. Date of exit is applied retroactively to the last day of service.

Follow Up
Follow up must be entered into the system within 45 days of the system exit. Hard copy documentation MUST be in the file to support and explain the exit. Please refer to the Follow Up Section of this manual.

Help Desk Process
The Phoenix Workforce Connection (PWC) Virtual OneStop (VOS) System Help Desk Unit was created to address VOS Users' needs. The hours of operation are 8:00 a.m. to 5:00 p.m. Monday through Friday. PWC has a staff person for the youth program to assist with trouble shooting and solving issues with Virtual OneStop. Users can submit VOS related requests by e-mail to the designated program staff listed below:

Youth Program: Susie Barlow at susie.barlow@phoenix.gov

All VOS request(s) electronically mailed to each Help Desk representative will be reviewed and the VOS User initiating the request will receive an electronic response which will include an update and/or outcome regarding the VOS request submitted within one hour of the request.
VOS REQUEST PROCESS:

1. VOS Users summit their VOS request(s) by e-mail to the designated Help Desk staff. **Note Again:** the e-mail request **MUST** include the following:
   - Client's first and last name.
   - Last four (4) digits of the client's Social Security Number.
   - Description of the VOS problem and screen print of page if appropriate.

2. Help Desk Staff will review all VOS requests and take appropriate action by:
   - Correcting the VOS problem, or
   - Forwarding the VOS request to the State Help Desk.

The Help Desk Staff will respond to the initiator of the request within one hour with either a resolution or status of the request. Please keep in mind that many requests will require research and may involve DES staff.

**ADDENDUM**

Virtual One Stop Review
VOS Activity Code List
Reports Available from VOS
BACKGROUND

The Phoenix Workforce Connection (PWC) Youth Program utilizes surveys to measure participant satisfaction at the established stages of services. Satisfaction indicators have been established to show the progress of the program in order to promote continuous improvement.

POLICY

All youth program service provider participate in the customer satisfaction survey process. Customer Satisfaction Surveys are printed in both Spanish and English. Customer Satisfaction Surveys are provided for the participant at the following locations:

- Blue surveys are recorded in the reception area section
- Green surveys are recorded in the information resource center area section
- Orange surveys are recorded in the workshop section.

Each youth program service provider will compile the indicated response for each survey question marked on each Customer Satisfaction Survey. Each youth program service provider must submit the site’s Customer Satisfaction Survey Monthly Report to the WIA PWC Youth Program Coordinator and Administrative Aide. Youth program service providers must also submit all completed customer surveys collected during the month.

ADDENDUM

Customer Satisfaction Survey English and Spanish
Customer Satisfaction Report
BACKGROUND

The U.S. Department of Labor has established performance measures for recipients of WIA funds. The Phoenix Workforce Connection Board will require youth providers to exceed these same performance measures during the contract term. During the contract term, these performance requirements may be subject to change as a result of changes in Federal law and WIA reauthorization.

Congress has not passed the reauthorization for WIA. Reauthorization may require adjustments to performance outcomes, service levels, etc. Upon reauthorization, Common Performance measures may replace the existing regulatory measures. It is anticipated that Phoenix Workforce Connection will negotiate Common Measures with the Arizona Department of Economic Security during the contract period. Common Measures seek to use a single set of measures for all Department of Labor programs.

The intent of common measures is to replace the existing WIA performance accountability system with a single, unified common measure system. Common measures are an integral part of the Employment and Training Administration’s (ETA) performance accountability system. The workforce investment system is transforming into a demand-driven system with strategic investments in workforce solutions that result in more individuals being trained for highly skilled jobs in high-growth, high-demand industries.

For the Program Year 2009, youth providers will be accountable for the regulatory youth-related measures and common measures.

POLICY

Regulatory Youth-Related Measures. The seven youth-related performance measures are listed below:

Younger Youth (Ages 14-18)
- Skill Attainment
- Attainment of Degree or Certificate
- Retention

Older Youth (Ages 19-21)
- Entered Employment
- Retention
- Wage/Earning Increase
- Credentials
The following tables provide additional information that includes definitions and formulas to calculate the regulatory measures.

### Older Youth (19-21 years old) Measures

<table>
<thead>
<tr>
<th>Measure</th>
<th>Definition</th>
<th>Formula</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Entered Employment Rate</strong></td>
<td>Of those who are not employed at registration and who are not enrolled in post-secondary education or advanced training in the first quarter after exit</td>
<td># of older youth (OY) who have entered employment by the end of the first quarter after exit</td>
</tr>
<tr>
<td></td>
<td></td>
<td># of OY who exit during the quarter</td>
</tr>
<tr>
<td><strong>Employment Retention Rate</strong></td>
<td>Of those who are employed in the first quarter after exit and who are not enrolled in post-secondary education or advanced training in the third quarter after exit</td>
<td># of OY who are employed in third quarter after exit</td>
</tr>
<tr>
<td></td>
<td></td>
<td># of OY who exit during the quarter.</td>
</tr>
<tr>
<td><strong>Earnings Change</strong></td>
<td>Of those who are employed in the first quarter after exit and who are not enrolled in post-secondary education or advanced training in the third quarter after exit</td>
<td>[Total Post-Program Earnings (earnings in the second and third quarters after exit)] MINUS Pre-Program Earnings (earnings in the second and third quarters prior to registration)]</td>
</tr>
<tr>
<td></td>
<td></td>
<td># of OY who exit during the quarter.</td>
</tr>
<tr>
<td><strong>Credential Rate</strong></td>
<td># of OY who were in employment, post-secondary education, or advanced training in the first quarter after exit and received a credential by the end of third quarter after exit</td>
<td># of OY who exit during the quarter.</td>
</tr>
<tr>
<td>Measure</td>
<td>Definition</td>
<td>Formula</td>
</tr>
<tr>
<td>---------</td>
<td>------------</td>
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</tr>
<tr>
<td>Skill Attainment Rate</td>
<td>Of all in-school youth and any out-of-school youth assessed to be in need of basic skills, work readiness skills, and/or occupational skills</td>
<td>Total # of youth who attained basic skills + # of youth who attained WR skills + # of youth who attained occupational skills ____________________________ Total # of basic skills goals + # of WR skills goals + # of occupational skills goals</td>
</tr>
<tr>
<td>Diploma or Equivalent Attainment Rate</td>
<td>Of those who register without a diploma or equivalent</td>
<td># of younger youth (YY) who attained a secondary school diploma or equivalent by the end of the first quarter after exit ____________________________ # of YY who exit during the quarter (except those still in secondary school at exit)</td>
</tr>
<tr>
<td>Retention Rate</td>
<td># of younger youth found in post secondary education, advanced training, employment, qualified apprenticeships, or military service in the third quarter after exit: ____________________________</td>
<td># of YY who exit during the quarter (except those still in secondary school at exit)</td>
</tr>
</tbody>
</table>
Common Measures: The three common measures apply to the PWC WIA Youth Program, which include Placement in Employment or Education, Attainment of a Degree or Certificate, and Literacy and Numeracy Gains.

### Placement in Employment or Education

<table>
<thead>
<tr>
<th>Common Measure</th>
<th>Definition/Formula</th>
<th>Data Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>Placement in Employment or Education</td>
<td>Of those who are not in post-secondary education or employment (including the military) at the date of participation</td>
<td>Wage records and supplemental data sources for placement in employment and military</td>
</tr>
<tr>
<td></td>
<td># of youth participants who are in employment (including the military) or enrolled in post-secondary education and/or advanced training/occupational skills training in the first quarter after the exit quarter</td>
<td>Administrative records (VOS) for placement in education or training</td>
</tr>
<tr>
<td></td>
<td># of youth participants who exit during the quarter</td>
<td></td>
</tr>
</tbody>
</table>

- Individuals who are in post-secondary education or employment at the date of participation are excluded from this measure.
- Employment and education status at the date of participation are based on information collected from the individual.
- Individuals in secondary school at exit will be included in this measure.

Participants who enter WIA funded youth programs while already in post-secondary education, employment, or the military have achieved the desired outcome under this measure. These individuals are excluded from this measure. Successfully returning young people to school or alternative education is desirable, but secondary school enrollment does not qualify as a placement under this measure. Individuals in secondary school at exit are included in this measure.

### Attainment of a Degree or Certificate

<table>
<thead>
<tr>
<th>Common Measure</th>
<th>Definition/Formula</th>
<th>Data Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>Attainment of a Degree or Certificate</td>
<td>Of those enrolled in education (at the date of participation or at any point during the program)</td>
<td>Administrative records</td>
</tr>
<tr>
<td></td>
<td># of youth participants who attain a diploma, GED, or certificate by the end of the third quarter after the exit quarter</td>
<td></td>
</tr>
<tr>
<td></td>
<td># of youth participants who exit during the quarter</td>
<td></td>
</tr>
</tbody>
</table>
Education refers to participation in secondary school, post-secondary school, adult education programs, or any other organized program of study leading to a degree or certificate.

Individuals in secondary school at exit will be included in this measure.

The term diploma means any credential that the state education agency accepts as equivalent to a high school diploma.

Diplomas, GEDs or certificates can be obtained while a person is still receiving services or at any point by the end of the third quarter after exit quarter.

Work readiness certificates will not be accepted under this measure.

Individuals in secondary school at exit are included in this measure. The focus of the certificate measure is attainment of measurable technical or occupational skills, rather than work readiness skills.

### Literacy and Numeracy Gains

<table>
<thead>
<tr>
<th>Common Measure</th>
<th>Definition/Formula</th>
<th>Data Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>Literacy and Numeracy Gains</td>
<td>Of those out-of-school youth who are basic skills deficient</td>
<td>Assessment instrument</td>
</tr>
<tr>
<td></td>
<td># of youth participants who increase one or more educational functioning levels</td>
<td></td>
</tr>
<tr>
<td></td>
<td># of youth participants who have completed a year in the program (i.e., one year from the date of first youth program service) plus the # of youth participants who exit before completing a year in the youth program</td>
<td></td>
</tr>
</tbody>
</table>

- In-school youth are excluded from this measure.
- It is allowable to use pre-test that are administered up to six months prior to the date of first WIA youth services. If prior pre-tests are not available, administration of the pre-test must occur at or prior to the date of participation.
- The same assessment tool is administered to the participants for pre-testing and post-testing.
- The date of the first WIA youth service is used to ensure that this measure is based on a “youth participation date” rather than the application date.
- Individuals who are determined not to be basic skills deficient based on pre-test are excluded from this measure.
- Individuals with disabilities should be accommodated according to the Rehabilitation Act of 1972.
- All out-of-school youth must be assessed in basic reading/writing and math.
The literacy and numeracy gains indicator measures the increase in skills of participants through a common assessment tool administered at program entry and regular intervals thereafter. Youth participants for whom the goal of literacy and/or Numeracy gains is most appropriate are those with basic skills deficiencies. Participants who are not basic skills deficient cannot achieve a positive outcome because they have attained basic literacy and numeracy. Exclusion of individuals who are not basic skills deficient focuses the measure on the participants with the greatest need for remediation, and minimizes the burden of testing individuals who, by virtue of their existing skill level, will not achieve a positive outcome under this measure.

In-school youth already undergo a number of assessments within the school system in order to comply with state standards of learning and graduations exams such as the AIMS. Requiring in-school youth to receive further academic assessments outside of the school system is redundant since it is the responsibility of the local school districts to ensure proper academic assessment of in-school youth.

Exclusions from Common Measures
Occasionally, circumstances arise that are beyond the control of both the participant and the program and are expected to last for an undetermined period beyond 90 days. A participant in the following categories, either at the time of exit or during the three-quarter measurement period following the exit quarter, will be excluded from the computation of the measures:

- **Institutionalized** — the participant is residing in an institution or facility providing 24-hour support, such as a prison or hospital, and is expected to remain in that institution for at least 90 days.
- **Health/Medical or Family Care** — the participant is receiving medical treatment or providing care for a family member that precludes entry into unsubsidized employment or continued participation in the program. This does not include temporary conditions or situations expected to last for less than 90 days.
- **Deceased** — Self-explanatory.
- **Reservists Called to Active Duty** — the participant is a reservist who is called to active duty for at least 90 days.
- **Relocated to a Mandated Residential Program** — for youth participants only, the participant is in the foster care system or any other mandated residential program and has moved from the area as part of such a program.

**Addendum**

Training and Employment Guidance Letter No. 17-05
BACKGROUND

The Program Monitoring Team consists of the City of Phoenix Youth Program staff and may include other designees appointed by the Youth Program Coordinator.

Performance outcomes for youth programs will be reviewed by the Youth Program Coordinator quarterly. If outcomes do not meet the expected standard for the quarter, the Youth Program Coordinator will meet with the Youth Program contractor to determine why the outcomes are low and what action (if any) will be taken to correct the problem.

POLICY

At a minimum, the program monitoring team will conduct two on-site reviews for compliance to contract and program file requirements. Administrative monitoring, which monitors the contract’s terms and condition, will be conducted once a year.

Monitoring of hard copy files will be conducted twice in a program year. Ten percent (10%) of the contracted service levels will be monitored for the program year. For example, if the contracted service level is 100, a total of 10 files will be reviewed for the program year. Ten (10%) of the total exits or a minimum of five (5) files for the performance year will also be monitored. For example, if 50 exits occurred during the program performance year, ten percent (10%) or 5 files will be monitored. If an agency has exited only five (5) files during the performance year, all five (5) will be monitored. Files selections will be random; however, staff will attempt to include files from each case manager assigned to the contract.

The monitoring team will provide technical assistance to Youth Program Contractors on an as needed basis. All City youth contractors and subcontractors will receive technical assistance once a month. Technical assistance allows the City to monitor hard copy and electronic files to identify areas of improvement.

Monitoring Notification:
Thirty days prior to the start of monitoring, the program monitoring team will provide the Deputy Director, the Youth Programs Coordinator with a monitoring schedule. The schedule will also be provided to the youth contractor sites. A reminder and confirmation of the upcoming monitoring will be sent via e-mail at
least two weeks prior to the visit, noting that the list of files to be reviewed will be forwarded 3 working days prior to the visit. The program monitoring will officially begin on the date the confirmation letter is sent to the youth provider.

**Completion of Monitoring Site Visit:**
At the end of the on-site review, the Monitor will conduct a brief, informal, verbal exit interview with the Youth Program Contractor Administrator/Designee. The Monitor will advise the Youth Program Contractor Administrator/Designee that the results of the monitoring visit will be written into a report and forwarded to the Youth Program Coordinator for review, and the Program Monitoring Report will be forwarded to the PWC Youth Program Contractor/Designee to review the findings and corrective actions.

If the monitor has determined that there are “findings” or “corrective actions” the contractors will be given 10 working days to respond in writing and provide backup documentation to all corrections. Contractors may request in writing additional time to respond if deemed necessary.

**Monitoring Closure:**
When satisfied that all monitoring findings and required explanations have been resolved, the Monitor will issue a monitoring closure letter/memo to the Youth Program Contractor. A copy of the letter will be filed in the contractor file.

**Subcontractor Monitoring:**
In the event that a Contractor has entered into agreement with a subcontractor to provide services with Workforce Investment Act funds, the Contractor shall be responsible for annual monitoring of the subcontractor(s). The PWC monitor(s) will review the subcontractor monitoring reports and Contractor monitoring procedures at the time of the on-site review. If the Contractor has not monitored the subcontractor(s), it will be a finding requiring corrective action. If the Contractor does not have a monitoring procedure in place, this too will be considered a finding requiring a corrective action.

The following information provides guidance on the calculation of the accuracy and the determination of the outcomes of program monitoring, Category 2, Item #4 in the PY10/11 contract requirements document.

**Accuracy Rate – Performance Reviews (City)** – This outcome will be determined by the overall Total Points accumulated for all the files reviewed divided by total number of files reviewed. Example: If a total of 17 files were reviewed and the
What is considered a FINDING/CORRECTIVE ACTION:

A finding/corrective action is a situation where either Federal Law and State or Local Policies and Procedures are not followed. If not corrected immediately, most Findings/Corrective Action lead to a non-allowable activity or disallowed cost, requiring reimbursement back to the City from non-federal funds. There may be situations where a Finding/Corrective Action can be corrected at the time of identification; however, it will still be noted as a Finding/Corrective Action in the program review outcome. Examples leading to a Finding/Corrective Action include, but are not limited to:

- Inaccurate or Incomplete eligibility determinations
- Application signed after Date of Participation (first enrollment into a WIA Activity)
- Services, as documented in case notes, were provided prior to the eligibility date
- Inaccurate or Incomplete verification and file documentation of any required field used to determine eligibility
- Missing, Incomplete, Outdated, and/or Unsigned Individual Service Strategy (ISS)
- Incomplete Youth Skill Attainment documentation and setting of Youth Goals for Basic Skills, Occupational Skills, and Work Readiness Skills
- Unable to determine the Service Mix and/or rationale for WIA services
- Failure to include documentation regarding coordination of occupational training with FASFA or PELL Grant Awards
- Assessments not documented in hard copy file or in case notes
- Failure to justify expenditures for Supportive Services or other Needs-Related Payments
- More than 90 days of no services has occurred
- Lack of, incomplete or incorrect client dates of service entered into Virtual OneStop
- Failure to provide hard copy documentation of credential or certificate
• Failure to follow City policies in the development of documents related to training services (OTAs, Work Experience, Basic Skills Training, Job Search activities)
• Failure to record quarterly follow up information into Virtual OneStop

ADDENDUMS

PWC Guidance Letter #10-006, Oversight Monitoring
Category 2, Item 4, Guidelines and Definitions for Program Monitoring Outcomes
SECTION FIVE

PHOENIX WORKFORCE CONNECTION
ADDENDUMS