



POLICY ISSUANCE 2022-03

DWDAL Workforce Program’s Enrollment and Exit | April 7, 2022

TO: Division of Workforce Development and Adult Learning (DWDAL) staff and Local Workforce Development Area (Local Area) Directors

FROM: DWDAL
Maryland Department of Labor (MD Labor)

SUBJECT: DWDAL Workforce Program’s Enrollment and Exit Policy

PURPOSE: To provide the guidance on the enrollment and exit procedures for Title I Adult, Dislocated Worker, and Youth, Title III Wagner-Peyser Employment Services, Jobs for Veterans State Grant, Trade Adjustment Assistance, and National Dislocated Worker workforce programs.

ACTION: Local Area Directors, American Job Center (AJC) Labor Exchange Administrators, and central office managers will ensure all employees, service providers, and vendors are aware of and receive copies of this policy. DWDAL policies are available on the [MD Labor website](#).

EXPIRATION: Until Cancelled.

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GENERAL INFORMATION

WORKFORCE INNOVATION & OPPORTUNITY ACT

The Workforce Innovation and Opportunity Act (WIOA) was signed into law on July 22, 2014 and went into effect July 1, 2015. WIOA supersedes the Workforce Investment Act of 1998 and amends the Adult Education and Family Literacy Act, the Wagner-Peyser Act, and the Rehabilitation Act of 1973. To help both businesses and job seekers meet their needs, the workforce system established under WIOA is integrated by design. WIOA envisions connecting businesses with job seekers through meaningful partnerships among workforce, education, human services, and economic development entities to ensure optimum results and leveraging of resources. The law addresses the needs of job seekers by establishing a workforce system that helps them access employment, education, training, and support services to succeed in the labor market. Through the American Job Centers (AJCs), WIOA works to address employer demands by matching them to the skilled workers they need to compete in the global economy.

MARYLAND WORKFORCE EXCHANGE

The Maryland Workforce Exchange (MWE) is Maryland's online job bank that supports the needs of the State's jobseekers and businesses. The MWE allows the Maryland Department of Labor (MD Labor) to fulfill the reporting and Labor Market Information needs of its job candidates, workforce professionals, and employers through the following features:

1. Comprehensive client tracking;
2. Comprehensive case management;
3. Case management tools;
4. Performance reporting; and,
5. Compliance with State and Federal standards.

The MWE serves as the data system for a number of WIOA programs, including the:

1. WIOA Title I Adult, Dislocated Worker, and Youth programs;
2. WIOA Title III Wagner-Peyser Employment Services;
3. Jobs for Veterans State Grant (JVSG) program authorized under chapter 41 of title 38, United States Code;
4. Trade Adjustment Assistance (TAA) authorized under chapter 2 of title II of the Trade Act of 1974 ; and,
5. National Dislocated Worker Grants (NDWG).

MD Labor uses the MWE to track the enrollment and exit of individuals from the above programs.¹

¹ Costs of the MWE and its modules are supported by grant funds from MD Labor's Office of Workforce Development.

ENROLLMENT

REPORTABLE INDIVIDUAL

Reportable individuals are defined as individuals that take part in self-services, receive information-only services or activities, or that do not complete the program requirements for eligibility or for participation.

Additionally, reportable individuals are individuals who have taken action that demonstrates an intent to use program services and who meet specific reporting criteria of the program, including:

1. Individuals who provide identifying information;
2. Individuals who only use the self-service system; or,
3. Individuals who only receive information-only services or activities.

Self-service is defined as when an individual independently accesses any workforce development system program's information and activities in either a physical location, such as an AJC resource room or partner agency, or remotely via the use of electronic technologies. (Note: Self-service does not uniformly apply to all virtually accessed services. For example, virtually accessed services that provide a level of support beyond independent job or information seeking on the part of an individual would not qualify as self-service).

Information-only services or activities are those that provide readily available information that does not require an assessment by a staff member of the individual's skills, education, or career objectives.

Reportable individuals do not count towards performance calculations; however, MD Labor and the U.S. Department of Labor (USDOL) track the number of reportable individuals to identify who engaged with the workforce system on an initial level but did not complete the requirements to become participants.

PARTICIPANTS

Participants for Title I Adult, Title I Dislocated Worker, and Title III Employment Services are broadly defined as individuals who:

1. Meet the definition of a reportable individual;
2. Have received services other than the services described for reportable individuals; and,
3. Have satisfied all applicable programmatic requirements for the provision of services, such as eligibility determination.

In addition to the above definition, these programs have additional required criteria for becoming a participant. For the **Title I Adult and Dislocated Worker Program**, participants are defined as reportable individuals who have received any training or individualized career services. For basic career services, a reportable individual becomes a participant when they receive a service that is neither self-service nor information-only, such as a staff-assisted service.

For **Title III Employment Services**, participants are defined as reportable individuals who have received an individualized career service. For basic career services, a reportable individual becomes a participant when they receive a service that is neither self-service nor information-only, such as a staff-assisted service.

Additionally, individuals that receive participant-level services via AJC staff are automatically enrolled as a participant in Title III, even if there are no Title III staff present at that time.²

For the **Title I Youth Program**,³ a participant is defined as an individual who:

1. Meets the definition of reportable individual;
2. Has satisfied all applicable program requirements for the provision of services, including eligibility determination, an objective assessment, and development of an individual service strategy; and,
3. Has received one or more of the 14 WIOA Youth program elements identified in sec. 129(c)(2) of WIOA.

For **TAA**,⁴ a participant is defined as an individual who has:

1. Satisfied all applicable programmatic requirements for the provision of services, such as an eligibility determination; and,
2. Has received benefits or services funded by the TAA program.⁵

For **JVSG**, a participant is defined as an individual who has:

1. Satisfied all applicable programmatic requirements for the provision of services, such as an eligibility determination; and,
2. Has received a JVSG-funded service from a Disabled Veteran Outreach Program (DVOP) specialist.

For **NDWG**, a participant is defined as an individual who has:

1. Met the definition of a reportable individual;
2. Has received an employment or training service or disaster relief employment, funded in whole or in part with NDWG funds, as authorized by WIOA section 170(b) and described in 20 CFR § 687.180(a) or 20 CFR § 687.180(b);⁶ and,
3. Has satisfied all applicable programmatic requirements for the provision of services, including an eligibility determination.

In addition to the above definition, Employment Recovery NDWGs and Disaster Recovery NDWGs have their own specific criteria for becoming a participant as defined in 20 CFR § 687.100.⁷

For **Employment Recovery NDWGs**, receipt of training services, individualized career services, and basic career services that are neither self-service nor information-only can all trigger inclusion as a participant.

² Additional details related to the roles and responsibilities of staff in the AJC can be found in the Local Area's MOU/RSA.

³ For more information on MD Labor's WIOA Title I Youth Program, refer to the *Workforce Innovation and Opportunity Act (WIOA) Title I Youth Program* policy on DWDAL's policy issuance page: <https://labor.maryland.gov/employment/mpi/>.

⁴ For more information on MD Labor's TAA Program, refer to the *Trade Adjustment Assistance* policy on DWDAL's policy issuance page: <https://labor.maryland.gov/employment/mpi/>.

⁵ Grantees are required to document the TAA benefit or service that a participant received via the Date of First TAA Benefit or Service data element. Trade Readjustment Allowances (TRA), Alternative Trade Adjustment Assistance (ATAA), and Reemployment Trade Adjustment Assistance (RTAA) are TAA-funded services that trigger participation.

⁶ 20 CFR § 687.180, "[What are the allowable activities under National Dislocated Worker Grants.](#)"

⁷ 20 CFR § 687.100, "[What are the types and purposes of National Dislocated Worker Grants under the Workforce Innovation and Opportunity Act.](#)"

For **Disaster Recovery NDWs**, the receipt of disaster relief employment services triggers inclusion as a participant.

EXIT

There are two types of exit: soft exit and manual exit.⁸ **Soft exits** occur when a participant has gone 90 calendar days without a staff-assisted or scheduled service and is auto-exited from the system. **Manual exits** occur when a staff member physically exits an individual from the system because they are no longer able to receive services. The soft exit is the primary method of exiting participants from the system; therefore, when “exit” is used in this policy, it is in reference to the soft exit approach.

When an individual is manually exited, they are excluded from performance calculations.⁹

CRITERIA WARRANTING A MANUAL EXIT AND EXCLUSION

The following are a list of criteria that would warrant a manual exit and exclusion from performance calculations for participants in Title I Adult and Dislocated Worker, Title III Employment Service, TAA, JVSG, and NDWG programs:

1. The participant has become incarcerated in a correctional institution or has become a resident of an institution or facility providing 24-hour support such as a hospital or treatment center;
2. The participant is receiving medical treatment, and that treatment is expected to last longer than 90 days and precludes entry into unsubsidized employment or continued participation in the program;
3. The participant is deceased; or,
4. The participant is a member of the National Guard or other reserve military unit of the armed forces and is called to active duty for at least 90 days.

The following is a list of criteria that would warrant a manual exit and exclusion from performance calculations for participants in the Title I Youth Program:

1. The participant has become incarcerated in a correctional institution or has become a resident of an institution or facility providing 24-hour support such as a hospital or treatment center during the course of receiving services as a participant;
2. The participant is receiving medical treatment and that treatment is expected to last longer than 90 days and precludes entry into unsubsidized employment or continued participation in the program;
3. The participant is deceased;
4. The participant is a member of the National Guard or other reserve military unit of the armed forces and is called to active duty for at least 90 days; or,
5. The participant is in the foster care system as defined in 45 CFR 1355.20(a), and exits the program because the participant has moved from the Local Area as part of such a program or system.

REPORTABLE INDIVIDUALS

A new period of self-service should occur for reportable individuals when more than 90 calendar days have elapsed since the last self-service or information-only service or activity occurred.

⁸ Manual exits may also be referred to as “hard exits.”

⁹ Local Areas must have their own policies related to enrollment and exit to provide guidance for situations outside the scope of State policy.

PARTICIPANTS

Participants are exited when 90 days have elapsed since the participant last received a participant-level service and when there are no plans to provide the participant with future services. The date of exit is applied retroactively to the last date of service.

For determining whether 90 calendar days have elapsed since the participant last received services, the following services are not included as activities that would delay or postpone the date of exit:

1. Self-service activities;
2. Information-only services or activities; and,
3. Follow-up services.

Because the date of exit is retroactive to the last date of service, follow-up services in the Title I Adult and Dislocated Worker programs may begin immediately following placement into unsubsidized employment if it is expected that the participant will not receive any future services other than follow-up services.

For the Title I Youth program, follow-up services may begin immediately following the last date of service if it is expected that the participant will not receive any future services other than follow-up services.¹⁰ Provision of follow-up services does not extend the date of exit.

Data and performance managers regularly monitor the MWE system to verify that a participant is actively receiving staff assisted services or whether an individual will be exited from the system.

COMMON EXIT

As a best practice recommended by the USDOL, MD Labor utilizes the common exit for the following programs:

1. Title I;
2. Title III;
3. TAA;
4. JVSG; and,
5. NDWG.

A common exit occurs when a participant, who is enrolled in multiple of the above programs, has not received services from *any* of the programs for at least 90 calendar days¹¹ and no future services are planned. When this occurs, the participant is exited from *all* programs simultaneously. (Note: Participants will remain enrolled in a program even if they have not received a service for over 90 days as long as they have received a staff-assisted service within the past 90 days from any of the other programs in which they are co-enrolled).

¹⁰ Questions about inputting follow-up services into MWE can be sent to the Performance Management Helpdesk: pmhelp@dlr.state.md.us

¹¹ With the exception of self service, information only activities, or follow up services.

REPORTING, MONITORING, AND RECORD RETENTION

REPORTING

For the purposes of performance reporting, the period of participation refers to the period of time beginning when an individual becomes a participant and ending on the participant's date of exit from the program. MD Labor counts each participant's exit during the same Program Year as a separate period of participation for purposes of calculating levels of performance. Additionally, a new period of participation is counted each time a participant re-enters and exits the program, even if both exits occur during the same Program Year.

For the Measurable Skills Gain performance indicator, a new period of participation is counted each time a participant enrolls in a program, even if both enrollments occur within the same Program Year. It is not necessary to wait until the participant exits the program in order to count a Measurable Skill Gain. It may be counted as soon as it is earned at any point during the participation period of the Program Year in which it was earned.

In addition to the periods of participation, which may include a single individual multiple times, MD Labor tracks and reports the number of participants being served for each Program Year.

MONITORING

The State acknowledges that USDOL may conduct fiscal and/or programmatic monitoring of WIOA programs. Therefore, MD Labor may conduct annual fiscal and/or programmatic monitoring of programs to ensure that enrollment and exit policies are being followed and expectations are being met. Monitoring may include desk and/or on-site monitoring.¹²

RECORD RETENTION

MD Labor requires documentation of processes for maintaining records per the federal records retention policy. DWDAL requires folders and documentation be maintained for a period of at least three years¹³ following the exit date.¹⁴ If any litigation, claim, or audit is started before the expiration of the three-year period, the records must be retained until three years after all litigation, claims, or audit findings involving the records have been resolved and final action has been taken.¹⁵

All records, both electronic and physical, must be maintained in accordance with TEGL 39-11, "Guidance on the Handling and Protection of Personally Identifiable Information (PII)," as well as DWDAL's policy concerning security, to maintain confidentiality and protect PII.¹⁶ PII is participant-level and employee data that either by itself or combined with other data can link to a specific individual or identity.

When emailing documents containing PII, all awardees and MD Labor staff must use password-protection, encryption-preferred, strong authentication procedures, and/or other security controls to make the information inaccessible to unauthorized individuals. Physical records must be kept in locked offices or file rooms. If the file

¹² DWDAL's Policy Issuance on monitoring can be found here: <http://www.labor.maryland.gov/employment/mpi/>.

¹³ 2 CFR 200.334, "[Retention requirements for records](#)."

¹⁴ The exit date refers to the date exited from MWE.

¹⁵ Local Areas may create their own record retention policies and procedures as long as they are in compliance with federal and State requirements.

¹⁶ DWDAL's Policy Issuance on privacy and data security can be found here:

<http://www.labor.maryland.gov/employment/mpi/>.

room is shared with other programs, and/or staff other than staff authorized for this program have access to that room, then the files must be maintained in locked cabinets.

FAIR PRACTICES AND ACCESSIBILITY

It is MD Labor's policy that all persons have equal opportunity and access to services and facilities without regard to race, religion, color, sex (including pregnancy, childbirth and related medical conditions, transgender status, gender identity, and sexual orientation), marital status, genetic information, age, national origin or ancestry (including Limited English Proficiency), disability, veteran status, political affiliation or belief, for the beneficiaries, applicants, and participants only, on the basis of citizenship status, or participation in a program or activity that receives financial assistance under Title I of WIOA. Local Areas working with participants in need of accommodations are responsible for securing the necessary support. Local Areas may refer to MD Labor's Nondiscrimination Plan¹⁷ and Language Access Plan¹⁸ for more information on accommodations and services.

¹⁷ MD Labor's Nondiscrimination Plan is available at the following link:

<http://www.labor.maryland.gov/employment/ndp/>.

¹⁸ The DWDAL and Division of Unemployment Insurance Language Access Plan is available at the following link:

<http://www.labor.maryland.gov/employment/wioa-access.pdf>.

REFERENCES

LAW

- [Workforce Innovation and Opportunity Act](#) (WIOA), 29 U.S.C. § 3101 et. seq (2015);
- [Job Counseling, Training, and Placement Service for Veterans](#) 38 U.S.C. Chapter 41. (2016);
- [Trade Act of 1974](#), 19 U.S.C. § 2101 (1975);
- [The Trade Act of 2002](#), §§ 107 – 210 (2002);
- [Trade and Globalization Adjustment Assistance Act of 2009](#), 26 U.S.C. § 1 note (2009);
- [Trade Adjustment Extension Act of 2011](#), 19 U.S.C. § 2465 (2011); and
- [Trade Reauthorization Act of 2015](#), 19 U.S.C. § 2101 note (2015).

REGULATION

- 2 CFR §§[200](#), [683](#) and [2900](#) – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards;
- 20 CFR Part 651, “[General Provisions Governing the Wagner-Peyser Act Employment Service](#);”
- 29 CFR § 97.42, “[Retention and Access Requirements for Records](#);”
- [Joint Rule for Unified and Combined State Plans, Performance Accountability, and the One-Stop System Joint Provisions](#); Final Rule (WIOA Joint Final Rule) published at 81 FR 55792 (Aug. 19, 2016);
- [Employment and Training Administration, Workforce Innovation and Opportunity Act](#); Final Rule (WIOA DOL Final Rule) published at 81 FR 56071 (Aug. 19, 2016);
- 29 CFR Part 38 – “[Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Innovation and Opportunity Act](#);”
- 20 CFR § 687.100, “[What are the types and purposes of National Dislocated Worker Grants under the Workforce Innovation and Opportunity Act](#);”
- 20 CFR § 687.180, “[What are the allowable activities under National Dislocated Worker Grants](#);” and
- 29 CFR Part 90 and 20 CFR Parts 617 and 618 “[Trade Adjustment Assistance for Workers Final Rule](#)” (2020).

USDOL GUIDANCE

- TEGL 21-16, Change 1, “[Change 1 to Training and Employment Guidance Letter \(TEGL\) 21-16 Third Workforce Innovation and Opportunity Act \(WIOA\) Title I Youth Formula Program Guidance](#),” dated July 30, 2021;
- TEGL 07-20, “[Effective Implementation of Priority of Service Provisions for Most in Need Individuals in the Workforce Innovation and Opportunity Act \(WIOA\) Adult Program](#),” dated November 24, 2020;
- TEGL 14-18, “[Aligning Performance Accountability Reporting, Definitions, and Policies Across Workforce Employment and Training Programs Administered by the U.S. Department of Labor \(DOL\)](#),” dated March 25, 2019;
- TEGL 10-16, Change 1, “[Performance Accountability Guidance for Workforce Innovation and Opportunity Act \(WIOA\) Title I, Title II, Title III, and Title IV Core Programs](#),” dated August 23, 2017;
- TEGL 21-16, “[Third Workforce Innovation and Opportunity Act \(WIOA\) Title I Youth Formula Program Guidance](#),” dated March 2, 2017;
- TEGL 19-16, “[Guidance on Services provided through the Adult and Dislocated Worker Programs under the Workforce Innovation and Opportunity Act \(WIOA\) and the Wagner-Peyser Act Employment Service](#)”

[\(ES\)](#), as amended by title III of WIOA, and for Implementation of the WIOA Final Rules,” dated March 1, 2017; and

- TEGL 39-11, “[Guidance on the Handling and Protection of Personally Identifiable Information \(PII\)](#),” dated June 28, 2012.

OTHER RESOURCES

- [DWDAL Policy Issuance Page](#);
- [Language Access Plan](#);
- [Maryland Local Plans](#);
- [Maryland WIOA Combined State Plan](#);
- [MD Labor’s Non-Discrimination Plan](#); and,
- [Workforce Innovation and Opportunity Act \(WIOA\) Common Performance Reporting](#) (OMB No. 1205-0526).