



Workforce Development Board Mid-Ohio Valley

Policy #26

Subject: Case Management and Follow Up

Effective Date: May 1, 2017

Purpose: To establish policy/guidance for Case Management and Follow Up in Region 4.

References: WIOA Section 3, 129, 134; 20 CFR 678.430 (b), 680.110, 680.150 (c), 680.180, 680.210, 680.220, 680.900, 680.910, 681.240, 680.310, 680.450, 680.570, 681.580; WIOA Joint Rule for Unified and Combined State Plans, Performance Accountability and the One-Stop System Joint Provisions; Workforce WV WIOA Guidance Notice No. 7-16; WDB-MOV Policies

Background: The term “case manager” (used in WIA) is replaced with “career planner” or “career counselor” (in WIOA terminology). The Career Planner/ Counselor will provide Individual Career Services to participants from the time of eligibility/enrollment through follow up. They will consult with the individual seeking services and assist in determining if the individual “has the skills and qualifications to successfully participate in the selected program of training services”; will assist the individual in selecting an eligible training provider and keep the individual apprised of information regarding services and training. [WIOA 134 (c); 20 CFR 680.340 (c)] Career Planning is a continual service provided to adult, dislocated worker and youth participants.

Policy: It is the policy of the WDB-MOV to put the customer first, while encouraging customer responsibility. WIOA encourages a customer-centered approach in delivering services that will

- Prepare and coordinate comprehensive employment plans, such as service strategies, for participants to ensure access to necessary workforce activities.
- Provide job, education, and career counseling during program participations and after job placement.

The Career Planner/Counselor will provide:

- **Basic Career Services,**
 - Initial assessment for eligibility per WDB-MOV Policy #8 and #15 and WIOA 134 (c). Which should provide enough information for the Career Planner to provide appropriate services including referrals for partner services.
 - Youth who meet the minimum income criteria for eligibility will be provided information on the full array of applicable/appropriate services available through partner and other eligible providers, AND be referred to appropriate training and educational programs that can serve the participant sequentially or concurrently.
 - Youth who do not meet the enrollment requirements of a specific program shall be referred for further assessment as necessary and referred to appropriate

programs to meet the basic skills and training needs of the applicant. (WIOA 129 (c))

- Eligibility Determination and Registration including the collection of required documentation
- **Individual Career Services** based on the individual needs of eligible participants
 - Develops an Individual Service Strategy/Individual Employment Plan (ISS/IEP) jointly with partner agencies (as appropriate) to identify employment goals, achievement objectives, and the appropriate combination of services for the participant to achieve his/her employment goals. (If a partner has recently developed a plan for the individual, that plan may be used if appropriate.)
 - All eligible participants in Region 4 will have an ISS or IEP, including adults, dislocated workers, and youth. This is one component of services provided, it is not a condition to receive the service.
 - Youth Career Planners/Counselors must provide an objective assessment of the academic levels, skill levels, and service needs of each participant. The assessment shall include a review of basic skills, occupational skills, prior work experience, employability, interests, aptitudes (including aptitude/interest for non-traditional jobs), supportive service needs, and developmental needs of such participant, to identify appropriate services and career pathways for the individual.
 - Each youth participant will have an ISS that is directly linked to a performance indicator (Section 116 (b) (2) (A) (ii) of WIOA), identifying career pathways, that include education and employment goals (including non-traditional as appropriate), appropriate achievement objectives, and services for the participant, taking into account the objective assessment.
- **Training Service Eligibility Determination**, with required documentation, for employed and unemployed adults and dislocated workers. The Career Planner/Counselor **MUST** ask the following questions before deciding on training, *after* an interview, evaluation or assessment and career planning:
 - Has the participant met the qualifications to be eligible for training services (received either an interview, evaluation, assessment or planning or any other method through which the One Stop operator or partner can obtain information and make an eligibility determination to be eligible for training service)? (Notes: There is no federally-required minimum time for participation in career services before receiving training services.)
 - Does the participant have the skills and qualifications to successfully complete the selected training program?
 - Is the training program directly linked to employment opportunities (locally or to an area which the participant is willing to relocate)?
 - Is there another source of funding such as PELL, TAA or state grants?
 - Does the customer meet priority of service if funding is limited?
- **Exit** The customer will exit the program 90 days after the last date the customer received a WIOA service from the adult, dislocated worker, or youth program, or Adult Education and Literacy program or DRS, or employment services offered by Wagner-Peyser. No future services other than follow up are planned. Ninety days of no service do not include self-service, information only services or follow up services.

- A customer in an ITA who has not had contact with a Career Planner/Counselor for more than 90 days, who does not submit the required documents to maintain funding should have the service closed and begin the exit procedure.

- **Follow Up: Adult - Dislocated Worker - Youth**

ADULT/DW REQUIREMENTS:

Follow Up services *must be made available* as appropriate for at least 12 months following the first date of unsubsidized employment to registered participants. Notify the customer that the service is available and the customer will be contacted by a staff person *at least once a month* for 12 months to offer assistance, support services, or work place counseling.

Follow up service must be available to participants for 12 months after they obtain unsubsidized employment.

Adult/DW/Youth Documentation Requirements:

The Follow Up service must be assigned in MACC and services must be offered to assist the participant with workplace issues. Attach a note for each contact / attempt to contact and include the following:

- type of service provided and outcome/next steps;
- time of attempt,
- type of attempt (phone or social media type),
- date of attempt and result (no answer, left message, talked to spouse/parent, etc).

If three (3) unsuccessful attempts are made within a month, the note should indicate that no contact was made. If this happens for 3 months straight, make a note that the customer cannot be located or contacted, and the Follow Up service may be closed. Attempts must not all be made on the same day, but spread throughout out the month.

The customer may refuse follow up services. If so, have the customer sign the Follow Up Service Form, (Attachment A) and place the signed form in their file. Document in MACC by assigning follow up service and creating a note to say they refused service—form in file.

YOUTH REQUIREMENTS:

Follow Up services *must be available for 12 months after exit to all youth* after program completion. All youth must be offered an opportunity to receive follow up services. Career Planners/Counselors will notify the customer that s/he will be contacted by a staff person at least *once a month* for 12 months to provide assistance including support services, adult mentoring, financial literacy education, labor market information, and or transitional activities to post-secondary education or other services determined to lead to success in employment or training. ***Contact / contact attempt for documentation purposes only is not follow up.***

Follow up service must be available for 12 months to participants after exit. If the customer refuses service, follow the above procedure for documenting refusal.

Monthly contact is REQUIRED.

- Contact may be by phone/text, social media, in person, or with the employer.
- Contact must be documented by **assigning the follow up service in MACC**, and attaching a note detailing the contact.
- Make up to three (3) attempts per month—documented. Attempts may not be on the same day.
Sample note: *(time of contact attempt) 1:30 p.m. (date) 12/1/16; by Career Planner name; phone (number). No answer after 10 rings. Left message to return my call. 1st attempt.*
- Contact with a relative/spouse or parent does NOT count.

As services are requested, assign in MACC and document provision. Services provided may include financial literacy, support services, adult mentor, labor market information/career counseling or transition to employment/education.

Purpose of contact is to be sure the customer is successful, to offer additional assistance for them to be successful as they transition into employment or training. Conversation and questions should be focused on this and what may be provided to assist in their being successful.

If there are attempts made for 3 months with no contact, the follow up service may be closed with a note that says the customer could not be located or contacted. (and there must be follow up notes with attempts for the previous 3 months).

Action: One Stop staff will be made aware of and expected to apply this policy to effectively serve customers in Region 4. Technical assistance will be provided as needed by the WDB-MOV.

Expiration Date: This policy shall remain in effect until revised or cancelled by the Workforce Development Board Mid-Ohio Valley.

Approved: April 28, 2017

LEO's/WDB



Follow Up Service Form

It is a requirement of the Workforce Innovation and Opportunity Act that Follow Up services be offered/ provided to all participants of WIOA programming.

I understand that Follow Up service are available to me at no cost, after I have obtained unsubsidized employment.

I elect to NOT RECEIVE Follow Up Services.

Print name

Signature

Date

Case Manager Signature