

Policy # 6	
SUBJECT:	Case Management/Follow-Up Services
DATE ISSUED:	January 30, 2017
DATE EFFECTIVE:	July 1, 2016
REVISION DATE:	September 17, 2021

REFERENCES: Workforce Innovation and Opportunity Act (WIOA), Section 3, 129, and 134; WIOA Code of Federal Regulations (WIOA CFR), 20 CFR §680.110, 680.150, 680.180, 680.210, 680.220, 680.900, 680.910, 681.240, 681.310, 681.450, and 681.570; Workforce Innovation and Opportunity Act Joint Rule for Unified and Combined State Plans, Performance Accountability, and the One-Stop System Joint Provisions; Workforce WV Guidance Notice 7-16.

ACTION: WIOA Section 3(8) defines career planning as the provision of a client-centered approach in the delivery of services; designed:

- To prepare and coordinate comprehensive employment plans, such as services strategies, for participants to ensure access to necessary workforce investment activities and supportive services, using, where feasible, computer-based technologies; and
- To provide job, education, and career counseling during program participation and after job placement.

Initial Assessment for Eligibility:

The initial assessment provides preliminary information about the individual's skill levels (including literacy, numeracy, and English language proficiency), aptitudes, abilities (including skills gaps), and supportive service needs (WIOA 134(c)).

As a basic career service for adults and dislocated workers, the initial assessment is intended to be a brief, preliminary information gathering process that, among other things, provides sufficient information about an individual's basic literacy and occupational skill levels to enable the One-Stop operator to make appropriate referrals to services available through the One-Stop operator and partner programs.

WIOA Section 3(5) defines basic skills deficient as an individual who:

- *(WIOA Youth)* - Is a youth, who has English reading, writing, or computing skills at or below the 8th grade level on a generally accepted standardized test; or
- *(WIOA Youth, Adult, Dislocated Worker)* - Is a youth or adult, who 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.



Information and Referral

WIB-KC will ensure that each participant or applicant who meets the minimum criteria for consideration as a WIOA-eligible Youth, Adult or Dislocated Worker be provided:

- Information on the full array of applicable or appropriate services that are available through the WBB-KC or other eligible providers or One-Stop partners, including those receiving funds under WIOA Title I, Subtitle B Workforce Investment Activities and Providers; and
- Referral to appropriate training and educational programs that have the capacity to serve the participant or applicant either on a sequential or concurrent basis. (WIOA 129(c))

To meet the basic skills and training needs of a WIOA applicant, each eligible provider of a program of activities shall ensure that an eligible applicant who does not meet the enrollment requirements of the particular program or who cannot be served 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)).

Registration and Participation

Registration is the process for collecting information to support a determination of eligibility. This information may be collected through methods that include electronic data transfer, personal interview, or an individual's application. Participation occurs after the registration process of collecting information to support an eligibility determination and begins when the individual receives a staff-assisted WIOA service, which does not include self-service or informational activities. (20 CFR 668.110)

- Adults and Dislocated Workers who receive services funded under Title I other than self-service or informational activities must be registered and must be a participant. (20 CFR 668.110)

Enrollment (WIOA-Youth)

Enrollment in the WIOA youth program requires the collection of information to support an eligibility determination and participation in any of the fourteen WIOA youth program elements. (20 CFR 681.310)

- All youth who participate in the youth program must be enrolled in the WIOA program in order to receive any youth services. (20 CFR 668.310)
- A youth's dropout status is determined at the time of WIOA youth program enrollment. An individual who is out-of-school at the time of registration and subsequently placed in an alternative school, may be considered an out-of-school youth for the purposes of the 75% expenditure requirement for out-of-school youth. (20 CFR 681.240)
- Employment Opportunity data must be collected on every individual who is interested in being considered for WIOA Title I financially assisted aid, benefits, services, or training by a recipient, and who has signified that interest by submitting personal information in response to a request from a grant recipient or designated service provider. (20 CFR 680.110)

Objective Assessment

WIOA Youth, Adult and Dislocated Worker programs 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 interests and aptitudes for nontraditional jobs), supportive service needs, and developmental needs of such participant, for the purpose of identifying appropriate services and career pathways for participants. (WIOA 129(c))

A new assessment of a participant is not required if the provider carrying out such a program determines it is appropriate to use a recent assessment of the participant conducted pursuant to another education or training program. (WIOA 129(c))

WIB-KC will accept assessments that are within 6 months of registration.

Individual Service Strategy Plan/Individual Employment Plan

The Individual Service Strategy Plan (ISS) and the Individual Employment Plan (IEP) are individual career services, under Section 134(c)(2)(A)(xii)(II) for WIOA-Youth (*ISS*) and WIOA-Adult and Dislocated Workers (*ISS*) that are jointly developed by the participant and Career Planner when determined appropriate by the One-Stop partner. The plan is an ongoing strategy to identify employment goals, achievement objectives, and the appropriate combination of services for the participant to achieve the employment goals. (20 CFR 680.180)

- If determined appropriate based on the need of the individual participant, the “combination of services” includes supportive services.
- The development of an ISS or IEP is only one of the career services that may be provided to Youth, Adults and Dislocated Workers determined to be in need of such service; it is not a condition to receive that service.
- Programs must develop the ISS or IEP for each participant so that are directly linked to one or more indicators of performance described in Section 116(b)(2)(A)(ii) of WIOA, and that shall identify career pathways that include education and employment goals (including, in appropriate circumstances, nontraditional employment), appropriate achievement objectives, and appropriate services for the participant taking into account the objective assessment. (WIOA 129(c))
- A new ISS or IEP is not required if the provider carrying out such a program determines it is appropriate to use a recent service strategy developed for the participant. (WIOA 129(c))

Supportive Services

The term “supportive services” means services such as transportation, childcare, dependent care, housing, and needs-related payments that are necessary to enable an individual to participate in activities authorized under WIOA Title I.

Training Decisions for Adults and Dislocated Workers

After an interview, evaluation, or assessment, and career planning before deciding on training, the career planner must ask these questions:

1. Has the participant met the qualifications to be eligible for training services (i.e. received either an interview, planning or any other method through which the One-Stop operator or partner can obtain information and make an eligibility determination to be determined eligible for training service?) (WIOA 134(c) and 20 CFR 668.220)
 - There is no federally-required minimum time period for participation in career services before receiving training services. (20 CFR 680.220)
2. Does the participant have the skills and qualifications to successfully complete the selected training program?
3. Is the program of training services directly linked to the employment opportunities either in the local area or in another area to which the participant is willing to relocate?
4. Is there another funding source willing to pay the costs of the training, including such sources as state-funded training funds, Trade Adjustment Assistance and Federal Pell Grants?
5. If funding is limited in the local area, does the adult participant meet the priority requirements given to recipients of public assistance and other low-income individuals?

Exits

For purposes of performance calculations, Exit is the last date of service after which an individual received services through the Youth, Adult, or Dislocated Worker program under WIOA Title I, the Adult Education and Literacy program under WIOA Title II, or the employment services authorized by Wagner Peyser as amended by WIOA Title III, and no future services other than follow-up services are planned. (20 CFR 677.150) Ninety days of no new services in the state MIS system will trigger program Exit. Self-service, information-only activities, or follow-up services (20 CFR 677.150) does not affect program Exit.

Follow-Up/Post Placement Contact

Follow-up Services must be made available to all WIOA Title I Adults, Dislocated Worker, Youth participants. All participants must be informed of Follow-up Services at time of enrollment. Follow-up Services are critical to help ensure participants have a successful employment and/or post-secondary education and training post program participation. As described in Section 134(c)(2)(A)(xiii) of WIOA and 20 CFR 678.430(c), Follow-Up Services must be made available, as appropriate, for a minimum of 12 months after Program Exit.

Follow up services are critical services provided following a participant's Exit from the program to help ensure the individual is successful in obtaining employment. (20 CFR 681.580) A list of potential follow-up services for can be found at 20 CFR 681.580(b). Follow-up services may be provided beyond 12 months at the state or local board's discretion. (20 CFR 681.580) However, follow-up services must include more than only a contact attempted or made for securing documentation in order to report a performance outcome. (WIOA 129(c))