

WIOA Case Management Policy WorkOne Southeast

Purpose

To provide guidance on case management and to ensure customers who need further assistance with workforce development services are given the opportunity to meet with WorkOne staff.

Case Management

- Staff members who provide case management are expected to:
 - Develop on-going relationships with their customers and act as a resource.
 - Develop a relationship with WIOA program partners where co-enrollments may exist, when appropriate and possible.
 - Help customers understand and act on their Individual Employment Plan, making adjustments as necessary
 - Perform regular check-ins
- As much as possible, customers should be able to see the same staff member for check-ins and return visits/appointments until the customer finds employment or otherwise exits the system.

References

- DWD Policy 2020-10 Workforce Innovation and Opportunity Act (WIOA) Title I Service Delivery
- MEMORANDUM, dated 12-2-2015, Interim Guidance on Eligibility and Data Validation, Except Youth and Adult Education - Version 3 (Adult & DW only)
- DWD Policy #2017-03 Youth Eligibility dated 9-8-2017 (Youth only)
- MEMORANDUM, dated July 2, 2015, Interim Guidance on the Delivery of WIOA Title I Adult and Dislocated Worker Services and the Impact on Participation and Exit Dates.
- DWD Policy 2019-04 WIOA Title I Adult Priority of Service and regional WIOA Title 1 Adult Priority of Service Policy.

Electronic & Paper File Case Management

Indiana Career Connect (ICC) is DWD's electronic case management system, for tracking program participation, program eligibility, data validation, service delivery, program outcomes, etc. Paper files are also maintained by staff to support program participation. Paper files are maintained in a secured and organized manner. Staff should follow the Organization Instruction sheet. Files are to be maintained in a locked area. This type of file maintenance for program enrollments is not totally duplicative, but rather support one another to ensure compliance with Federal, State, and Regional guidelines.

Services

There are three types of career services: basic career services, individualized career services, and follow-up services. Individualized career services must be provided to participants after WorkOne American Job Center (AJC) staff determine that such services are required to retain or obtain employment. Generally, these services involve significant staff time and are customized to each individual's needs.

An assessment process collects and evaluates various data elements concerning an individual. Through assessment, an individual and a WorkOne Team Member, will jointly develop a plan of activities and services needed. Assessment results are to be recorded in Indiana Career Connect (ICC).

When the participant's service strategy includes individualized career and/or training services, case notes must contain the determination of the need and eligibility for those services, under 20 CFR **SS** 680.210, as well as the justification for the determination.

Services provided to reportable individuals, registrants, and participants are entered into ICC. Case notes must be entered for each service/activity provided and support/justify the delivered service.

It is preferred that services and case notes be entered as delivered, but staff are allowed **up to three business days**.

It is allowable to enter a case note without a supporting service when it is intended to provide just an update or status change on the customer's progress where no evidence of a service was provided is shown.

The frequency and mix of service delivery is unique based on each individual participant, program, and eligibility of services.

- Keeping participants active and engaged through the delivery of various WIOA services increases the likelihood of successful outcomes, ideally until they become employed or have met other relevant goals.
- Participants will remain program active as long as services that prevent an exit are delivered every 90 days or less. Expected service delivery is every 30-45 days, if not more frequently.
- Basic career services, partner services, and supportive services do not prevent an exit.
- Identifying next steps with participants helps ensure continued service delivery and achieving steps/objectives to reach goals.
- For participants in an on-going training service such as occupational classroom training or OJT, monthly-check in services would be reported as appropriate. While the open service will prevent a participant from exiting, these monthly check-in services help staff assess the continued success of the service participation and issues that may need solutions identified, including referrals. Monthly check-in services do not prevent an exit.
- A best practice for participants attending short-term training is for the case manager to have at least one monthly check-in midway through the training for programs lasting one month or less.
- Staff will confirm the start of training and case note that date. Services are reported in ICC as of the date the customer began receiving the service. The service is closed as of the last date the customer received the service. A case note supports the last day of training attendance.

Individual Employment Plan (IEP)/Individual Service Strategy (ISS)

For participants program enrolled in WIOA (including NDWG), TAA, or JVSG an IEP/ISS is jointly developed in conjunction with the participant and staff. The customer is given a copy of the signed IEP.

- A Development of IEP activity is reported in ICC along with case notes that the plan was jointly developed in conjunction with both the customer and staff. Case notes will reflect the customer received a copy of the plan. Staff maintains a copy of the IEP in ICC. Goals and objectives are entered into ICC to support the plan. As goals and objectives are completed and closed, staff should report if the goal was attained or not.

- The IEP activity should remain open until program exit. It is reviewed and updated to reflect the current goals of the participant. A case note supports this. Goals are updated in ICC, as needed.

On-the-Job Training (OJT)

Staff follow DWD Memorandum, dated June 9, 2015, WIOA T1 (134)-P1 On-the-Job Training Guidelines under the Workforce Innovation and Opportunity Act (WIOA)
Regional policy, Use of Employer Based (On-the-Job) Training
Regional policy, OJT Employer Reimbursement Rate

Program Exits & Closure Screens

At the time the customer has reached their goals and no longer expresses a need for services or hasn't received any services preventing an exit for 90 days, a soft exit from the program will occur in ICC. By default, ICC will report the exit code as Soft Exit Applied. ICC generates this exit 90 days after closure of last open service or if the projected end date has expired. Not all services prevent an exit.

Prior approval of the MIS Director must be obtained prior to changing the exit reason from a Soft Exit. This requires documentation and case notes which are reported in ICC, and removes the participant from performance measures.

Upon program exit, staff should complete the Closure Screen.

- Staff should update the Work history, MSG, EFL and credential screens, as appropriate.
- The IEP/ISS objectives, goals and then the Plan (in that order) should be closed prior to completing the Closure screen. All activities must be closed prior to closing the Plan.
- Staff should update the **Accountability Closure/Exit Status** and change as appropriate, along with completing the remainder of the ICC closure screen.
- **WIOA Youth Only** should update the **School Status & Youth Placement at exit** in the ICC closure screen and **School Status at exit** in the ICC exit/outcomes screen.
- Subsequent employment obtained, up to 1 year after program exit, requires updating the Employment History, Employment ribbon, Closure Screen and any affected quarterly follow-ups. All updates should be case noted.

Follow-Up

Staff will follow the regional WIOA Title I Post Exit Follow-Up Policy.

Retention of Records

WorkOne Southeast shall retain and make available all financial records, supporting documentation, statistical records, evaluation data, member information and personnel records for three (3) years from the final Expiration Date of this Grant Agreement. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

Questions regarding retention of records may be directed to the MIS Director for guidance.