

Workforce Investment and Opportunity Act Policies and Procedures

WIOA ADULT, DISLOCATED WORKER & YOUTH PROGRAM – EXIT & FOLLOW UP POLICY

REVISION EFFECTIVE DATE: January 1, 2021

SUPERCEDES: April 20, 2017

PURPOSE

This policy communicates exiting and follow-up procedures and documentation requirements for the WIOA Adult, Dislocated Worker and Youth Program.

BACKGROUND

The Workforce Innovation and Opportunity Act (WIOA) Section 134 (d)(2)(A) requires that follow up services be provided to Adult and Dislocated Worker clients who are placed in unsubsidized employment for not less than 12 months as determined appropriate by the Local WIB.

Follow up services provide participants support and guidance after program completion to facilitate sustained employment, ensure job retention and successful completion of post-secondary credentials and career enhancement goals.

POLICY

The following is the policy for exiting procedures and documenting follow up services for the WIOA Adult, Dislocated Worker & Youth Programs:

- A. Exit: A participant who has not received a qualifying active service funded by WIOA or by a partner program for 90 consecutive days and is not scheduled to receive future services must be exited. (A qualifying active service is a service that extends the participant's WIOA participation and includes career and/or training services)

IWDS determines the exit date based on the date of last qualifying active service. Case notes must document the date and the reason for exit. The exit note should contain documentation supporting the level and intensity of follow up services and must include an explanation if no follow up services are planned.

There are three (3) categories of exits:

1. Positive Exits: Exiting a client with any of the following reasons would be considered a positive exit for the WIOA Adult and Dislocated Worker program:
 - Unsubsidized Employment: The participant is employed in a position that is not subsidized by any federally funded program.
 - Entered Military Service: The participant enters any branch of active service.
 - Entered a Qualified Apprenticeship: The participant has begun an apprenticeship program that is recognized by the Employment and Training Administration Bureau of Apprenticeship and Training or by a recognized State Apprenticeship Agency.
 - Self-Employment: A participant begins an enterprise that is registered or licensed as a business in the State of Illinois.

2. **Negative Exits:** The following exits are considered negative for the Adult and Dislocated Worker program and would negatively affect at least one performance measure. Prior to submitting a file for negative exit, the case manager must exhaust all methods of contact and attempts to re-engage a client in services. This should include but not be limited to daily attempts to contact client via phone, email and mail, contacting collateral contacts as well as other programs the client is involved with. All contact attempts must be documented in the client file.
 - **Retirement:** Participant intends to retire and not seek further employment.
 - **Cannot Locate:** Participant has been unreachable by the case manager for 90 days. Contact information is no longer valid and further contact information is not available.
 - **Services Complete:** Participant has completed all services as indicated in their IEP/ISS but has not been able to obtain employment.
 - **Services Not Completed:** Participant has not completed services indicated in IEP/ISS and is no longer utilizing services to achieve completion.
 3. **Excluded Exits:** Exiting a client with any of the following reasons excludes them from performance measures. If a client is exited using any of these reasons, documentation must be obtained indicating they are unable to work and/or seek employment.
 - **Family Care:** Participant is no longer able to continue program services due to responsibility for the care of 1 or more family members.
 - **Health/Medical:** A participant is no longer able to continue program services due to a health or medical reason that is expected to last for more than 90 days.
 - **Institutionalized:** Participant is institutionalized and requires 24-hour care and/or supervision.
- B. **Adult & Dislocated Worker Follow up Services:** WIOA 134(c)(2)(xiii) states follow up services must be provided as appropriate to Adult & Dislocated Worker participants for a minimum of 12 months for clients placed in unsubsidized employment. The intensity or need for follow up services will depend on the needs of the participant and will be determined on a case by case basis. The plan for follow up services must be documented in the client's IEP/ISS and in the case notes. Follow up services are two-way exchanges between the client and the service provider and/or case manager. Follow up services may include but are not limited to:
1. Assistance in securing a better paying job
 2. Additional career planning and counseling
 3. Assistance with work related problems
 4. Peer support groups
 5. Information about additional educational/employment opportunities
 6. Referral to other community services
- C. It is the responsibility of the Career Planner to determine, in conjunction with the participant which follow-up services after exit would best suit the individual's circumstance.
1. In the Adult and Dislocated Worker Programs these services are a way to determine if adults or dislocated workers need support for retaining employment, earning wages, or advancing in the workplace.

2. An evaluation must occur to determine the need and the level of intensity for follow-up services received by an individual and clearly documented in the IEP/ISS.
3. Follow-up should be as often as necessary throughout the required 12 months.
 - At a minimum, follow up should occur at least every (30) days for the first (3) months and then must occur once a quarter for the remainder of the (12) months period.
 - After the 90 days following exit, if a customer is non-responsive, cannot be located, or refuses to provide information, the Career Planner may close follow-up services. A case note must be entered into IWDS and the IEP/ISS updated to document the reason for discontinuation of services.
 - Contact should be two-way communication by telephone, in person, email or other social media. If client does not respond to the contact attempt, it is not considered a two-way communication.
 - All attempts (successful or unsuccessful) to contact the customer must be case noted in IWDS.
 - Upon completion of all follow up services, the service must be closed in IWDS along with a case note and update of IEP/ISS with follow up end date.

D. **Youth Follow up Services:** Follow up services are critical services provided following a youth's exit from the program. Follow up services help to ensure the youth is successful in employment and /or post-secondary education and training. Follow up services may include the following program elements:

1. Supportive Services (other than monetary)
2. Adult Mentoring
3. Financial Literacy Education
4. Providing labor market and employment information regarding in demand industry sector or in demand occupation in the local area including career awareness, career counseling and career exploration.
5. Activities that help youth prepare for transition to post-secondary education.
6. Referral to other community services

E. All youth participants must be offered the opportunity to receive follow up services aligned with their ISS.

1. Follow up services must be provided to all participants for a minimum of 12 months as appropriate and as it aligns with the ISS.
2. A participant who is enrolled in follow up services must have a meaningful monthly contact to fulfill this requirement. This must include more than only a contact attempted or a contact made for the sole purpose of securing documentation to report a performance outcome. If during the follow up period, the participant is unresponsive for 3 consecutive months, they may be closed from follow up provided the counselor/service provider has exhausted all methods of contacting the participant with the approval of the program supervisor.
3. Opting out of the twelve (12) month follow-up period may occur at any point in time. The request to opt out or discontinue follow-up services must be clearly documented in the case notes.

4. If a participant cannot be located at the time of exit, the case manager/service provider must document all attempts to locate the client and the attempts must be exhaustive in nature. Contact attempts can include e-mail, phone and regular mail as well as contacting the client's collateral contacts and other providers/programs the client is working with. Only when all avenues have been exhausted and documented may the decision be made by the program supervisor not to enroll the client in follow up services.