

Directive #: W2FOD-08

To: work2future Service Providers

From: San Jose Silicon Valley Workforce Development Board

Effective Date: July 1, 2015 Rev. 2018

SUBJECT: Follow-up

Cc: Monique Melchor



## OPERATIONAL DIRECTIVE

work2future Workforce Development Board  
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### EXECUTIVE SUMMARY

This Policy provides guidance to WIOA staff for Follow Up Services and activities to Adults, Dislocated Workers, and Youth participants. WIOA CASE MANAGER (WIOA CASE MANAGER) will ensure that follow-up contact and services for all participants start after exit and will be conducted for each follow-up quarter (up to 1 year) after the completion of participation to ensure all performance goals are met.

While not required, appropriate follow-up services for adults and dislocated workers must be made available if determined to be needed for an individual to retain employment for a minimum of 12 months after the first day of unsubsidized employment (680.150). When provided, follow-up services should assist participants with employment retention and may include:

- Guidance on success in the workplace and career progression
- Provide a continuing link between the participant and the workforce system
- Guidance on skill development/further education
- Financial literacy and budgeting assistance

Please note that follow-up begins with employment (when needed), not necessarily exit. To avoid unnecessarily extending exit after employed, staff should make use of case notes only and close activities appropriately. Verbal or written contact by staff with a participant or employer merely to confirm the participant is still employed is not necessary unless supplemental employment information is needed for performance outcome documentation or done as part of retention efforts/services. Supplemental data is pulled from the quarterly follow-up employment fields. Entering and retention in the military is only captured when keyed as supplemental data each quarter.

Note: Funds may not be expended on adults/dislocated workers after exit has occurred

### REFERENCES

- **WIOA Final Regulations:**

[https://www.doleta.gov/wioa/Final\\_Rules\\_Resources.cfm](https://www.doleta.gov/wioa/Final_Rules_Resources.cfm)

- **WIOA Guidance:**

[https://wdr.doleta.gov/directives/All\\_WIOA\\_Related\\_Advisories.cfm](https://wdr.doleta.gov/directives/All_WIOA_Related_Advisories.cfm)

## POLICY AND PROCEDURES

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- As mandated by WIOA, case manager shall collect data during follow-up contact to meet the WIOA Adult and Dislocated Worker Performance Measures
- A face to face meeting, telephone call, e-mail or text message from the WIOA CASE MANAGER staff or case manager that has been reciprocated by the participant. Case manager shall provide documented follow-up contact to each participant who has exited from the program 30 days following their program exit, 60 days following program exit, 90 days after program exit and at subsequent 90 - day intervals for a minimum of 12 months, following program exit. These intervals are a minimum requirement. WIOA CASE MANAGER will initiate additional contact as needed to ensure participant's success and document performance outcomes in the State CalJOBS system.
- Case manager must document all follow-up contact in the State CalJOBS system.
- If the WIOA CASE MANAGER case manager is not able to make contact during a given follow - up period, the case manager will document all attempts to contact participant in the case notes in the State CalJOBS system. Case manager will make a minimum of three (3) attempts at contacting the participant during the follow-up period.

Contacts or attempted contacts for the purpose of securing documentation for the case file in order to report a performance outcome. Performance data for the 2nd and 4th quarter after exit must be entered in CALJOBS during the 2nd and 4th quarter respectively. Services that provide support and guidance to:

- facilitate sustained employment
- advancement along a career or educational ladder
- personal development

Examples Include:

- Transportation
- Purchase Work-Related Uniform/Attire
- Purchase Work-Related Tools
- Housing Assistance
- Utilities
- Dependent Care
- Medical
- Incentives/Bonus
- Educational Testing
- Other Supportive Services, as approved by the WDB supportive services policy.

### Follow-up Quarters

1. January, February, March
2. April, May, June
3. July, August, September
4. October, November, December

Quarters are determined by the Last Date of Service. For example, if the participant's Last Date of Service was on August 30th, their 2nd quarter of follow up would be January, February, March.

## **Global Exclusion**

If a participant meets one of the other reasons for exit listed below, they are excluded from performance and follow up:

- a. Institutionalized: the participant exits the program because he or she 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.
- b. Health/Medical: the participant exits the program because of 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.
- c. Deceased: the participant is deceased.
- d. Reserve forces called to active duty: the participant exits the program because 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.
- e. Foster care: the participant is in the foster care system and exited the program because the participant has moved from the area as part of such a program or system (Youth Participants ONLY).
- f. Ineligible: the participant, who was determined to be eligible, is later determined not to have met eligibility criteria. (Vocational Rehabilitation only)
- g. Criminal offender: the participant is a criminal offender in a correctional institution under Section 225 of WIOA.

## **Youth Program Follow-Up Services**

- Youth Follow Up Services are a required youth program element that must be made available to youth participants. Follow up services are provided by WIOA CASE MANAGER
- All youth participants must be offered an opportunity to receive follow-up services that align with their employment plan. Follow-up services must include more than only a contact attempted or made for securing documentation in order to report a performance outcome.
- Follow up services are critical services provided following a youth's exit from the program to help ensure the youth is successful in employment and/or post - secondary education and training.
- WIOA CASE MANAGER MUST maintain contact with a participant and provide outreach through a variety of means of communication during the follow up period.
- Follow-up services are a required youth element that must be provided to all participants for a minimum of 12 months unless the participant declines to receive follow - up services, the participant cannot be located after a period of 90 days and six attempted contacts, or the participant meets one of the other reasons for exit.
- Follow-up services may be extended beyond the 12-month period if the participant is in need of such services beyond the 12-month period. All correspondence must be documented in CALJOBS.
- The types of services provided and the duration of services provided during follow-up must be determined based on the needs of the individual and align with their employment plan. As a result, the type and intensity of follow-up services may differ for each participant.
- Follow Up Services must include more than contacts or attempted contacts for securing documentation in order to report a performance outcome, follow up activities.
- Regular contact with a youth participant's employer, including assistance in addressing work-related problems that arise.
- Supportive Services – follow the Workforce Innovation and Opportunity Act Title I Support Service policy and procedures.

- Adult mentoring – utilize the Workforce Innovation and Opportunity Act services chart for a description of adult mentoring.
- Services that provide labor market and employment information about in - demand industry sectors or occupations available in the local area, such as career awareness, career counseling, and career exploration services; and
- Activities that help youth prepare for and transition to postsecondary education and training.
- Counseling about the work place.

**Note: All youth participants must be informed of follow up services at time of enrollment.**

### **Adult and Dislocated Worker Follow-Up Services**

Follow-up services for all Adult and Dislocated Workers must be completed the 2nd and 4th quarter after the last date of service, as appropriate. Follow up is required for a minimum of 12 months. Follow up services and activities must be documented in CalJOBS case notes.




Follow-up services may include, but are not limited to:

- Additional career planning and counseling.
  - Contact with the participants’ employer, including assistance with work related problems.
  - Peer support groups.
  - Information about additional educational opportunities.
  - Referral to supportive services available in the community.
1. WIOA Case Manager will use The Follow-Up Form in CalJOBS (see below: Follow up Form) is to record the information from individuals during follow-up who have Soft Exited from the system. A Follow-Up Form helps determine an individual’s employment and educational status after exiting the program.
  2. By using the information requested on the form, staff will be able to determine an individual’s employment and educational status at these intervals. The Follow-Up Form will also document individuals employed at exit who remain employed and collect & record supplemental employment information for those individuals employed in jobs not covered by the Unemployment Insurance Base Wage Field (for Youth this would also include those who entered post-secondary education, advanced training, the military, or a qualified apprenticeship.) The form also records information that was not available at exit, such as credential attainment that may have occurred after exit. The information on the form may come from a variety of sources, as appropriate, including the individual, the employer, school records, or other service providers/partners who can validate the individual’s status.

The system will not provide access to this tool until the individual has been officially exited from the program, which includes the creation of a Closure and Outcome Form. A Follow-Up Form is **not required** for any individual who exited from the program due to an Exclusionary Exit.

## Follow-Up Form Due Dates and Schedule

This form must be completed on a quarterly basis for up to four quarters after closure date. The system will not provide access to this tool until the individual exited from the program (Soft Exit) and after 90 days from closure date. The same form type is used for each quarterly contact, with an indicator of the follow-up period of being selected. Staff can record Follow-Up Forms only in the current quarter for federal reporting requirements. The system does not allow federal follow-ups to be recorded outside the designated quarterly time periods. If staff click a Follow-Up Form link prematurely, the system will display an alert letting staff know that the form is not yet available for use.

Fiscal Year Quarter 1			Fiscal Year Quarter 2			Fiscal Year Quarter 3			Fiscal Year Quarter 4		
Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
 Aug 15, 2015 Closure Date			 Nov 15, 2015 (approx.) Follow-Up Form Available								
 Aug 15, 2016 Last day for follow-up contact			Follow-up <u>Qrt 1</u>			Follow-up <u>Qrt 2</u>			Follow-up <u>Qrt 3</u>		
			Time allowed for Follow-up Form data entry			Time allowed for Follow-up Form data entry			Time allowed for Follow-up Form data entry		
Follow-up <u>Qrt 4</u>											
Time allowed for Follow-up Form data entry											

FOLLOW-UP FORM		
1. General Information	WIOA Follow-Up	Indicates the follow-up quarter.  This section will be pre-filled depending on which quarter staff are following-up, quarter 1 – 4.
	Status	Indicates the status of follow-up.
	User ID	<b>User ID</b> and <b>Working With</b> information is listed, but cannot be modified.
	Working With	
	Exited as Employed	Information in the Follow-Up Form is based on information recorded in the Closure or Outcome Form.
	Agency Code	
	Address 1	
	Address 2	
	*City	When filling out the Follow-up Form staff <b>should verify</b> that information is still correct or if any changes have occurred since exit.
	*State	
	Zip Code	
	*County/Parish	
	*Country	
*Prime Phone		
Alternate Phone		
2. Alternate Contact Information	Manage Alternate Contacts Contact List	This section lists the individual's contacts.
3. Exit and Closure Information	Exit Date Employment Status Attained Credential(s) at Enrollment Attained Credential at Exit Youth Status at Exit	Information here is listed, but cannot be modified.

	Placement Status at Exit	
4. Contact	Attempt Contact	To record failed contact attempts, click on the "Attempt Contact" hyperlink and complete the form.  When the maximum number of contacts have been entered and saved, the system will alert staff and provide the ability to close the follow-up using the <b>Multiple Attempts were made with No Success</b> button.
5. Follow-up Employment Information	*Have you worked this quarter? Use Primary employer from previous quarter?	Answer <b>Yes</b> or <b>No</b>  If yes, click on "Add Employer" hyperlink and complete form.
	Add Employer	
6. Youth Placement Information	Exit Placement	Information here is listed, but cannot be modified.
	Previous Placement	Information here is listed, but cannot be modified.
	*Current Placement	Select current placement information from the drop down menu.
	Date of Placement	If applicable, enter date of placement.  Use the <u>verify</u> link to verify placement.
7. Diploma/Certificate	Enrollment Diploma/Certificate	Information here is listed, but cannot be modified.
	Exit Case Closure Diploma/Certificate	Information here is listed, but cannot be modified.
	Exit Case Closure Diploma/Certificate Date	Information here is listed, but cannot be modified.
	*Attained Diploma, GED/High School Equivalency Diploma or Certificate (not previously recorded)	Select attainment information from the drop-down menu.
	Date Attained Diploma/Certificate	If applicable, enter date of attainment.  Click the <b>Verify</b> link to confirm that the individual has attained a diploma/certificate.
8. Youth Follow-Up Services	Check all that apply	Check all the services that were provided/discussed during the specific quarter follow-up.
9. Credential Information	Enrollment Credential	Information here is listed, but cannot be modified.
	Case Closure Credential	
	Current Credential	If individual obtained a credential during exit record information here.
	Other Credential	
	Credential Date	
Update Education/Certificate History	If staff click the hyperlink they will be re-directed to a new screen where they can enter <b>Education History</b> and <b>Certificates/Licenses</b> .  Note: The data entered here is <b>NOT</b> considered as a credential for Federal reporting. Credentials for Federal Reporting must still be entered under Credential Information section.	
10. Current Status at Follow- Up when previous data entry options are not performance indicators	Other Status at Follow-Up	This field provides information on the status of exiters during follow-up, and is <u>only required when</u> : Individual participated in Adult or Dislocated Worker program (and no Youth programs), and all of the Employment questions are answered "No." Individual participated in the Youth program, and may have also participated in the Adult or Dislocated Worker program, and all of the Employment questions are answered "No" and the Youth Status is set to "Not in further training." Individual participated in the Youth program, and may have also participated in the Adult or Dislocated Worker program, and Youth Status is set to "Did not attain diploma or equivalent" and Youth Placement is set to "None of the Above" and
	Other Description	

		all of the Employment fields indicate individual is not employed.  If recording a Positive Outcome in Follow-Up Form <b>do not</b> complete this section.
11. Contact Information	*Actual Date of Follow-Up	Enter date of Follow-Up
	*Contact Type	Select contact type from the drop-down menu.
	Other (specify)	If applicable, enter other information.
	Received 12 months of Follow-Up services	Answer <b>Yes</b> or <b>No</b> .  Will only appear during 4th quarter follow-up.
	Comments	If staff would like to add any additional information about this Follow-Up Form, enter the details in the Comments box or Add a New Case Note.
	Add a new Case Note	
12. Staff Information	*LWIA/Region	Information here is listed, but cannot be modified.
	*One Stop Location	
	Staff User Create	
	Create Date	
	Staff User Edit	
	Edit Date	

## INQUIRIES

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If you have any questions please contact work2future Workforce Development staff at:  
[sangeeta.durrall@sanjoseca.gov](mailto:sangeeta.durrall@sanjoseca.gov).

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