Follow-Up Services

Purpose

This policy provides staff with guidance on providing and managing of follow-up services as required under the Workforce Innovation and Opportunity Act (WIOA).

Background

WIOA specifies that follow-up services must be made available, as appropriate, for a minimum of 12 months following the exit from the program whether employed or not, to registered participants. Follow-up allows staff to provide the participant support to ensure their post program success and collect valuable information for performance measures. The types of follow-up services provided should be based on the individual needs as well as the goals of the participant.

Policy

Follow-up services must be provided, as appropriate, for all exited participants who have received individualized career services, basic career services and training services, for up to 12 months. However, those who meet the global exclusions requirements do not require follow-up. The participant will be informed of available follow-up services during the initial exit interview. Counselors must document in a case note that participants were informed of the available follow-up services and how to access such services. A follow-up services notification card can be mailed to participant as a reminder. Most follow-up services including the initial notification of available services will be done via phone, email or in person.

Alternate contacts provided by participant during their eligibility appointment or at any time during participation may be used for follow-up purposes with a signed Participant Release (HSD1490). Follow-up via social networking status updates, tweets or other mass communication mediums is not acceptable. While follow-up services must be made available, not all of the adults and dislocated exiters (date of exit is the last date of service) will need or want such services. Participants who have multiple employment barriers and limited work histories may need more significant follow-up services to ensure long-term success in the labor market.

The ETC of record will provide follow-up services, building upon the relationship already established with the participant. In the rare instance when the counselor of record is unable to complete follow-up, their supervisor will be responsible for re-assigning the task to another counselor or the HSA.

Steps to Follow-Up

Step I – Contact:

Counselors will contact all exiters (The date of exit is the last date of service), this initial call is an opportunity to do the following:

- Remind the participant of the available follow-up services, and
- Review any specific job-related concerns.

Regular communication should be made based on the participants needs. Minimum contact should be made as follows:

- 2nd Week of Employment
- 1st Quarter after Exit
- 2nd Quarter after Exit
- 3rd Quarter after Exit
- 4th Quarter after Exit

A minimum of ***<u>three</u>*** attempts to contact the participant should be made and documented for each quarter, when appropriate (ex. If the participant reports a global exclusion during first quarter follow-up, it is not appropriate to continue trying to reach the participant).

Global exclusion includes the following:

- Participant has become incarcerated or becomes a resident at a facility providing 24-hour support, such as a hospital or treatment center.
- Participant has received medical treatment that is expected to last longer than 90 days.
- Participant becomes deceased.
- Participant is a member of a military reserve unit and is called to activity duty for at least 90 days.
- Participant is in foster care and exits the program due to moving outside the subrecipient's area (only applies to the Youth program).
- Participant has requested that we no longer make contact.

Contact attempts must be entered in the follow-up services grid, the system will auto generate a case note.

Step II – Provide Support:

Counselors will assist the participant based on their needs. Support could include the following:

- Workplace information,
- Tips for success,
- Referrals to services, and
- Additional job retention support

See Types of Services for details – Page 3

Step III – Document

Counselors are required to document all contact, attempts of contact and services provided in the case management system. A follow-up service code identifying any services the participant required must be entered, see Follow-up Service Code Definitions (pg. 8) for details. If the participant says that they are employed, staff would need to get an email, text, or other document from the participant.

"Tracking Progress on the Job" service code F03 will be entered for all successful contacts along with a case note. Follow-up service codes do not extend the date of exit. All follow-up data must be entered in the follow-up services grid no later than 16 days after the end of the quarter.

Timeline of Follow-Up

Follow-up services should begin the first day following notification of employment and made available for a minimum of 12 months. Follow-up cohorts are made up of a group of participants that exit within a particular quarter. Performance outcomes are based on the data collected about these cohorts and tracked over a 12-month period, see chart below for cohort details:

Exit Dates	1st Qtr. Follow-up Starts	2nd Qtr. Follow-up Starts	3rd Qtr. Follow-up Starts	4th Qtr. Follow-up Starts
January 1st – March 31st	April 1st	July 1st	October 1st	January 1st
April 1st – June 30th	July 1st	October 1st	January 1st	April 1st
July 1st – September 30th	October 1st	January 1st	April 1st	July 1st
October 1st – December 31st	January 1st	April 1st	July 1st	October 1st

Types of Services

The goal of follow-up services is to help the participant remain employed and advance within that career pathway toward self-sufficiency. Funding for supportive services or ITAs cannot be provided during follow-up. If the client is needing additional training then the ETC will need to open a new WIOA application. When two applications are open for a client follow-up is only required for the one that shows as exited. This can be part of any regular ongoing case management that occurs with the client on the new application.

Services may include, but are not limited to:

Services:	Examples:
Maintaining Employment	• Identify Emerging Problems • Resolving Work Conflict • Communication • Soft Skills Training • Problem Solving Skills
Career Planning	• Preparing for Promotion • Resume and Interview Assistance • Additional Educational Opportunities ◦ Upgrading Skills ◦ Software ◦ ESL Classes
Support Services	• Community Resource Referrals • Childcare • Healthcare • Housing • Financial Planning

Performance Data

The data gathered and documented during follow-up is used to gauge overall program impact and success by focusing on changes in a participant's employment status.

Common measures for Adult and Dislocated Worker programs are tied to the following:

- Entry into unsubsidized employment (Entered Employment)
- Retention in unsubsidized employment (Employment Retention)
- Earnings change after entry into unsubsidized employment (Median Earnings)
- Credential rate

Documentation

Acceptable documentation of participant's status during follow-up includes, but is not limited to the following:

Status	Acceptable Documentation
Employed	• Paystub • Tax Records • W-2 Form • Qtrly Tax Payment Forms (IRS form 941) • Document from employer on letterhead • Detailed case notes verified by employer and signed by the counselor
Credential attained	• Copy of credential • Copy of School Record • Signed follow-up survey from program participants • Case notes documenting information obtained from education or training provider
Self Employed Supplemental date will be requested each quarter from the self employed individual. A case note documenting the request or failure to provide will be required.	• IRS 1040 accompanied by IRS form 1040, Schedule C • IRS 1040 accompanied by IRS form 1040, Schedule C-EZ • IRS form 1099 • IRS 1040 accompanied by IRS schedule SE • Self-employment worksheets signed and attested to by program participants • Qtrly Tax Payment Forms (IRS form 941)

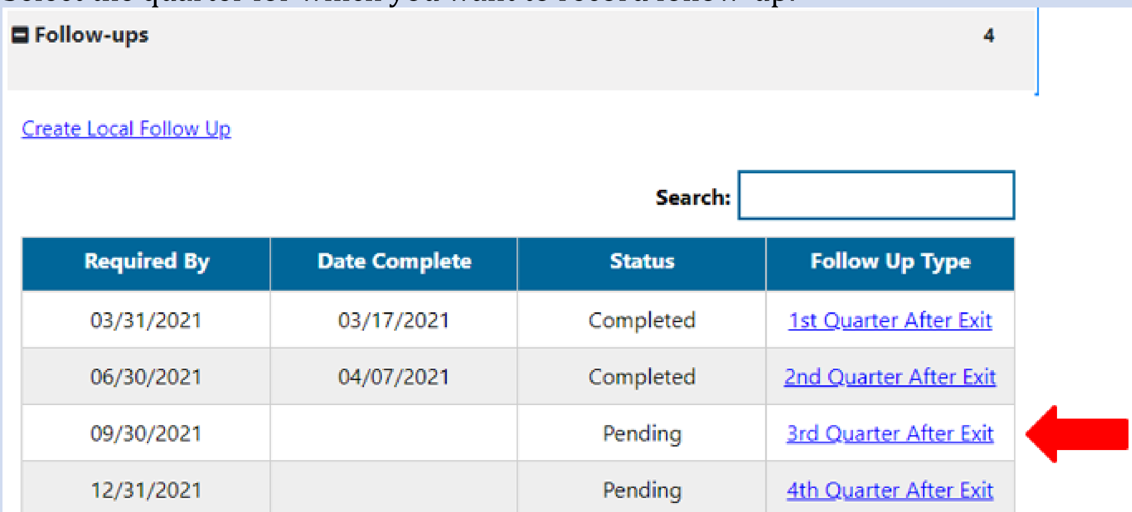
Please note: Client statement may be used when documentation is not received (except as supplemental data). System case note must be entered stating information gathered, such as; employer information, when/what credential received by client and request for copy of acceptable documentation.

CalJOBS Entries

Each quarter after exit, the information gathered through follow-up case management is to be recorded for performance and monitoring purposes in the follow-up pages of CalJOBS.

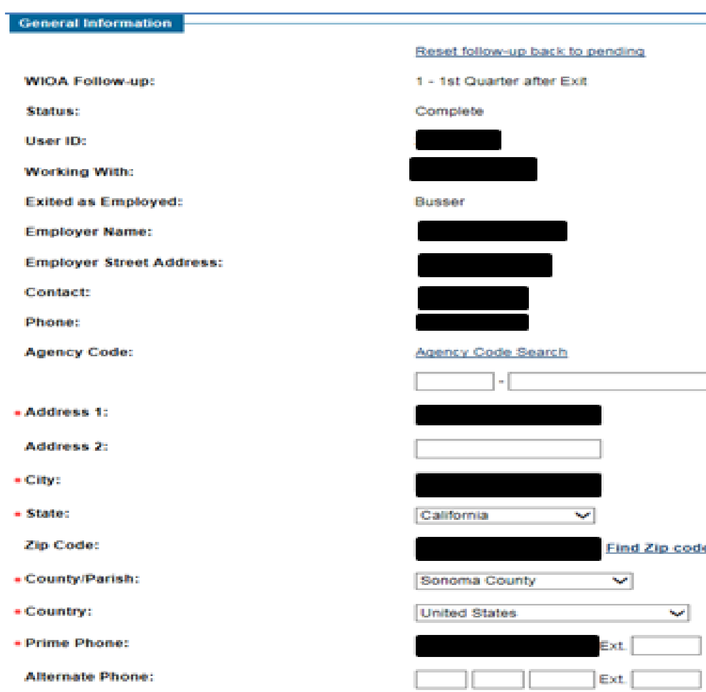
The steps below outline how to find and complete these follow-up pages:

1	**On the Programs Tab – under the opened WIOA Application – Follow-Ups**
2	Select the quarter for which you want to record follow-up:

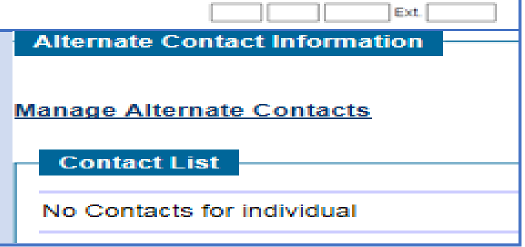


Required By	Date Complete	Status	Follow Up Type
03/31/2021	03/17/2021	Completed	1st Quarter After Exit
06/30/2021	04/07/2021	Completed	2nd Quarter After Exit
09/30/2021		Pending	3rd Quarter After Exit
12/31/2021		Pending	4th Quarter After Exit

3	Review General Information section and complete/update as necessary. Be sure to add **Agency Code.**

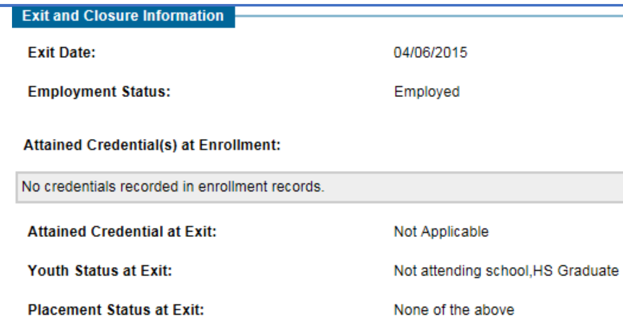


4	Review **Alternate Contact Information** section and complete/update as necessary.

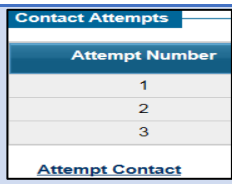


5

Review **Exit and Closure Information** section, ensuring information is accurate.



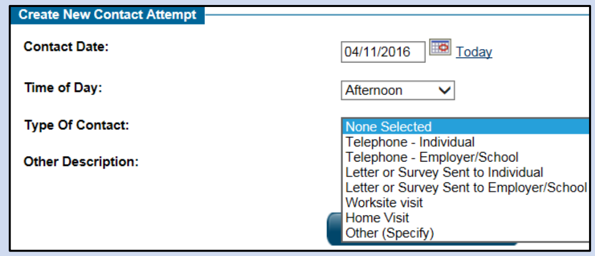
6 Only use when unable to reach client



Complete up to 3 contact attempts in the **Contact Attempts** section. This is **only** to be used when a counselor is **<u>unsuccessful</u>** in reaching a client for follow-up.

Click **Attempt Contact** and complete **New Contact Attempt** section.

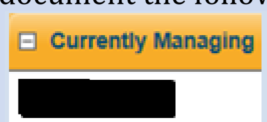
When complete, click **Add New Contact Attempt.**



When the information has been saved it can be reviewed in the **Contact Attempts** section.

Attempt Number	Date	Time	Type Of Contact
1	03/09/2016	Morning	Telephone - Individual
2	03/14/2016	Afternoon	Other (Specify)
3	03/23/2016	Evening	Letter or Survey Sent to Employer/School

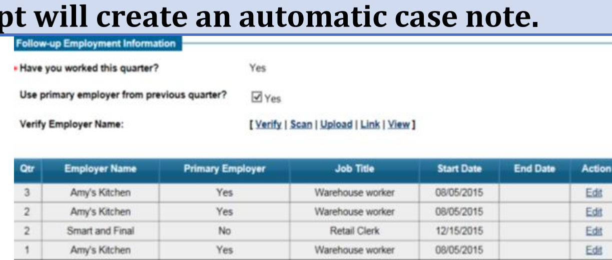
Then click the client's name under the **Currently Managing** tab to navigate out of the follow-up. Your contact information will be saved when you return to document the follow-up again, later in the quarter**.**



Start again at Step 1 for your next successful or unsuccessful contact.
Note: Each recorded contact attempt will create an automatic case note.

7

Complete **Follow-up Employment Information** section.



Qtr	Employer Name	Primary Employer	Job Title	Start Date	End Date	Action
3	Amy's Kitchen	Yes	Warehouse worker	08/05/2015		Edit
2	Amy's Kitchen	Yes	Warehouse worker	08/05/2015		Edit
2	Smart and Final	No	Retail Clerk	12/15/2015		Edit
1	Amy's Kitchen	Yes	Warehouse worker	08/05/2015		Edit

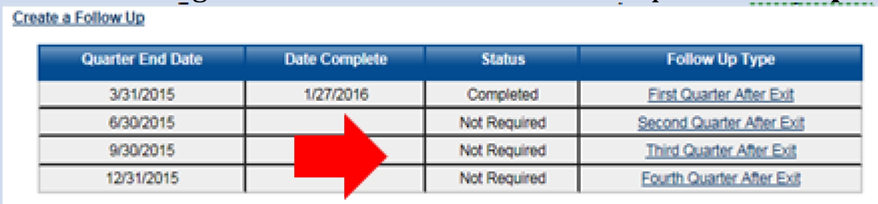
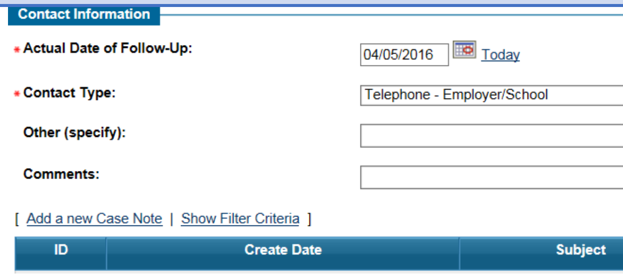
If the client has worked and this is the 1st quarter the employment has been recorded, select **Add Employer** and complete step 6 of Case Closure in CalJOBS.

If the client has worked and the employer isn't new to CalJOBS, at 2nd, 3rd, or 4th follow-up, the option to use primary employer from previous quarter will be available.

Use primary employer from previous quarter? ☐ Yes

Select yes and the information from the previous quarter will be copied into the current follow-up. If changes need to be made since <u>previous quarter</u> (wage increase, etc.), finish follow-up, reopen follow-up and hit **Edit** next to the current quarter. Verify **Employer Name** and other criteria as needed.

<table>
<tr><td>8</td><td>The ‘Current Status at Follow-up when previous data entry options are not performance indiators’ section is where a global exclusion can be entered if at the time of follow-up it is discovered the client needs to be excluded.

This will change the status of all future follow-ups to Not Required.

<table>
<tr><th>Quarter End Date</th><th>Date Complete</th><th>Status</th><th>Follow Up Type</th></tr>
<tr><td>3/31/2015</td><td>1/27/2016</td><td>Completed</td><td>First Quarter After Exit</td></tr>
<tr><td>6/30/2015</td><td></td><td>Not Required</td><td>Second Quarter After Exit</td></tr>
<tr><td>9/30/2015</td><td></td><td>Not Required</td><td>Third Quarter After Exit</td></tr>
<tr><td>12/31/2015</td><td></td><td>Not Required</td><td>Fourth Quarter After Exit</td></tr>
</table>
</td></tr>
<tr><td>9</td><td>


Enter Contact Information regarding the day the follow-up took place. This includes, date of follow-up, contact type, etc.

Note: As with case closure, there is an option to Add a new Case

Note: This will open a separate window that will let the user copy the information out of the system into the mandatory case note.</td></tr>
<tr><td>10</td><td>Review Staff Information section and ensure it is accruate.</td></tr>
<tr><td>11</td><td>Hit Save
<u>IMPORTANT NOTES:</u> Hitting ‘Create Follow-up’ will create a local follow-up and not count towards performance. Create a Follow Up Do not use this link to record follow-up info.

<u>CREDENTIAL INFORMATION IS NO LONGER RECORDED IN THE FOLLOW-UP SCREEN</u>
To record a credential information during follow-up go to the credential tab or of the WIOA application.</td></tr>
</table>

Follow-Up Statuses

Required – No follow-up has yet been completed and is needed. Note: Even cases that have not exited with employment will show as required and those clients will need to be contacted.

Not Required – The client has hard exited and no follow-up is needed.

Pending – A follow-up has been started, contact attempts made, but still needs to be completed.

Complete – Follow-up is complete, no work needed.

Not Complete – Follow-up is not complete – missing actual date of follow-up info. (RARE)

Follow-Up Service Codes & Definitions

Services provided to the participant after exit should be documented in the system using the following codes:

Code	Definition
Referral to Community Services: (F01)	AJCC staff referred a participant to a community resource. This follow-up service was provided to the participant to enable them to progress further in education, training, or to retain or obtain employment.
Referral to Medical Services: (F02)	AJCC staff referred a participant to medical services. This follow-up service was provided to the participant to enable them to progress further in education, training, or to retain or obtain employment.
Tracking Progress on the Job: (F03)	AJCC staff tracked a participant's progress on the job, and identified which, if any, additional follow-up services the participant required to progress further in their occupation or employment.
Work Related Peer Support Group: (F03)	AJCC staff referred a participant to a work-related peer support group after being placed in unsubsidized employment, education, or training. This follow-up service was provided to the individual to enable them to progress further in their education, training, occupation or retain their employment.
Assistance Securing better Paying Job: (F05)	AJCC staff provided a participant assistance in securing a job paying a higher wage.
Career Development and Further Education Planning: (F06)	AJCC staff provided a participant additional career planning and counseling. This followup service was provided to the participant to enable them to progress further in education, training, or to retain or obtain employment
Assistance with Job/Work Related Problems: (F07)	Staff assisted a participant with a work-related problem, which may have included contacting the participant's employer. This follow-up service was provided to the individual to enable them to progress further in their occupation, or retain employment.

References:

NPRM 680.150
NPRM 680.180
NPRM 683.310(d)
NPRM 681.580
WIOA 133(c)(2)(A)(xii)
TEGL 10-16, Change 1
TEGL 13-18