

**Region III Workforce Investment Board  
WIOA Adult, Dislocated Worker, and Youth Programs**

**Policy 14-16**

**SUBJECT:** Case Management/Follow-Up Services  
**DATE ISSUED:** January 30, 2017  
**EFFECTIVE DATE:** July 1, 2016

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**REFERENCE(S):** 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 services 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:

- Is a youth, who has English reading, writing, or computing skills at or below the 8<sup>th</sup> grade level on a generally accepted standardized test; or
- 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 income criteria for consideration as an eligible youth be provided:

- Information on the full array of applicable or appropriate services that are available through the WIB-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))

**Region III Workforce Investment Board**  
**WIOA Adult, Dislocated Worker, and Youth Programs**

To meet the basic skills and training needs of a youth applicant, each eligible provider of a program of youth 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**

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**

Local youth 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.

**Region III Workforce Investment Board**  
**WIOA Adult, Dislocated Worker, and Youth Programs**

**Individual Service Strategy Plan**

The individual employment plan (IEP) is an individual career service, under Section 134(c)(2)(A)(xii)(II), that is 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 IEP is only one of the career services that may be provided to adults and dislocated workers determined to be in need of such service; it is not a condition to receive that service.
- Local youth programs must develop Individual Service Strategies (ISS) for each participant 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 service strategy for a youth participant 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, child care, 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 relocated?
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?

**Region III Workforce Investment Board**  
**WIOA Adult, Dislocated Worker, and Youth Programs**

**Exits**

For purposes of performance calculations, exit is the last date of service after which an individual received services through the adult, dislocated worker, or youth 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 service does not include self-service or information-only activities or follow-up services (20 CFR 677.150)

**Follow-Up/Post Placement Contact**

Adult and dislocated workers follow up services, as described in Section 134(c)(2)(A)(xiii) of WIOA and 20 CFR 678.430(c), must be made available, as appropriate, for a minimum of 12 months following the first day of employment, to registered participants who are placed in unsubsidized employment. (20 CFR 680.150) Follow up services must be provided, as appropriate, including: counseling regarding the workplace, for participants in adult or dislocated worker workforce investment activities who are placed in unsubsidized employment, for up to 12 months after the first day of employment (20 CFR 678.430)

WIB-KC will make follow-up services available to all youth participants for not less than 12 months after the completion of participation. (20 CFR 681.460) Follow up services are critical services provided following a youth's exit from the program to help ensure the youth is successfully in employment and/or postsecondary education and training. (20 CFR 681.580) A list of potential follow-up services for youth 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))