



**WORKFORCE INNOVATION AND OPPORTUNITY ACT
(WIOA)
PROGRAM POLICY NOTICE NO. 26 Rev.1**

EFFECTIVE DATE: 4/18/2023

SUBJECT: CASE MANAGEMENT

PURPOSE.

This policy provides guidance on the required WIOA case management activity.

BACKGROUND.

The WIOA is designed around a case management approach, and case notes are an essential component of effective case management practices. They are used to document and maintain information about clients, their progress, and the process and rationale for.

Case Management means the provision of a client-centered approach in the delivery of services, designed to:

- Prepare and coordinate comprehensive employment plans, such as service strategies, for participants to ensure access to necessary workforce investment activities and services, using where feasible, computer-based technologies; and,
- Provide job, education, and career counseling during program participation and after job placement.

Adults and Dislocated Workers

WIOA Adult and Dislocated Worker funded staff, known as Career Development Specialists (CDS), provide case management services to all participants enrolled in Workforce Innovation and Opportunity Act Title I programs. The Northern Area Local Workforce Development Board (NALWDB) identifies case management as follows:

1. Comprehensive and specialized assessment of skill levels and service needs through
 - i. Diagnostic testing and use of other assessment tools; and,
 - ii. In-depth interviewing and evaluation to identify employment barriers.
2. Development of an Individual Employment Plan (IEP) to identify employment goals and objectives, and appropriate services needed to achieve those goals and objectives.
3. Information on training available in local and regional areas, information on individual counseling to determine which training is suitable training, and information on how to apply for such training.
4. Information on how to apply for financial aid, including referring participant to educational

opportunity centers, and notifying participants that they may request financial aid for determining the amount of need of the participant for Federal financial assistance under title IV of such Act (20 U.S.C. 5§ 1070, FAFSA GEN-21-02). This request is sometimes referred to as a professional judgment.

5. Short-term prevocational services, including development of learning skills, communications skills, interviewing skills, punctuality, personal maintenance skills, and professional conduct to prepare participants for employment or training.
6. Individual career counseling, including job search and placement counseling, during the period in which the participant is receiving services, and after receiving services for purposes of job placement.
7. Provision of employment statistics information, including the provision of accurate information relating to local, regional, and national labor market areas, including
 - i. Job vacancy listings in such labor market areas;
 - ii. Information on jobs skills necessary to obtain jobs identified in job vacancy listings described in subparagraph (a);
 - iii. Information relating to local occupations that are in demand and earnings potential of such occupations; and,
 - iv. Skills requirements for local occupations described in subparagraph (c).
8. Information relating to the availability of supportive services.

CDS Responsibilities

In addition to the defined case management identified above, CDS's are responsible for

- Providing testing of basic skills, comprehensive assessment and testing;
- Co-enrolling in all applicable programs as appropriate;
- Maintaining consistent contact with participants as appropriate; and, if unable to make contact after repeated attempts in a 90-day period, closing all services and enrollments effective the date the services were last provided;
- Developing and continually updating of an Individual Employment Plan (IEP);
- Determining if participant requests for training services and supportive or other services are allowable, appropriate and able to be funded;
- Coordinating joint training plans and employment services as appropriate;
- Monitoring the progress of participants in their approved plan;
- Recording all program services and case notes in the New Mexico Workforce Connection Online System (NMWCOS) within the required timelines and as service/contact occurs, reflecting any significant issues or changes;
- Maintaining the participant file (paper file);
- Ending the participant's services and program enrollment when services are no longer being provided;
- Ensuring that participants are aware of their responsibilities.

Note: A significant failure to meet these case management responsibilities based on program monitoring may result in formal corrective action if there is no improvement from one year to the next.

Participant Responsibilities

1. Obtaining prior approval for any type of service or assistance from the WIOA Program;
2. Informing Career Planner of progress;

3. Informing Career Planner of changes (address, phone number, classes or training, personal situations, etc.) in a timely manner (as it is happening, not weeks/months later).
4. Informing Career Planner of problems in any area (training, personal, financial, etc.) that could impact successful completion of their approved plan;
5. Informing Career Planner of work status;
6. Timely submitting copies of grades, certifications, diplomas, registration schedule, bills, receipts, etc.

II. Youth

Case management services are available to youth participants enrolled in Workforce Innovation and Opportunity Act Title I programs and has been incorporated into the NALWDB Youth Program Policy.

CDS's provide:

- Comprehensive and specialized assessment of skill levels and service needs through diagnostic testing and use of other assessment tools and in-depth interviewing and evaluation to identify barriers to education and/or employment.
- Case management services to youth may include assisting the youth in the development of the Individual Employment Plan (IEP) by helping them identify career and education goals and objectives, and appropriate services needed to achieve those goals and objectives.
- Assisting the youth apply for financial aid, including referring participant to educational opportunity centers, and notifying participants that they may request financial aid administrators at institutions of higher education.
- Providing short-term prevocational services, including development of learning skills, communications skills, interviewing skills, punctuality, personal maintenance skills, and professional conduct to prepare participants for employment or training.
- Individual career counseling, including job search and placement counseling, during the period in which the participant is receiving services, and after receiving services for purposes of job placement.
- Coordinate co-enrollments for youth in other WIOA programs as appropriate.

The participant also has responsibilities during their participation in the youth program by:

1. Participating in the development and planning of their IEP;
2. Taking an active role in working toward attainment of the goals developed on the IEP;
3. Obtaining prior approval for any type of service or assistance from the WIOA Program
4. Informing CDS of progress;
5. Informing CDS of changes (address, phone number, classes or training, personal situations, etc.) in a timely manner (as it is happening, not weeks/months later).
6. Informing Case Manager of problems in any area (training, personal, financial, etc.) that could impact successful completion of their approved plan;
7. Informing Case Manager of work status; and by
8. Timely submitting copies of grades, certifications, diplomas, registration schedule, bills, receipts, etc. when requested by their case manager.

POLICY.

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 Adult Education customers' instructors where 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.

Electronic & Paper File Case Management

New Mexico Workforce Connection Online System (NMWCOS) is the NALWDB'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. Files are to be maintained in a locked area. These types of file maintenance for program enrollments are not totally duplicative, but rather support one another to ensure compliance with Federal, State, and Regional guidelines.

Services

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 evidence of no 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 the delivery of services that do prevent an exit is delivered less than 90 days.
- Basic career services, partner services, and supportive services do not prevent an exit
- Identifying next steps with participants helps ensure continued service delivery and steps being achieved to reach goals.
- Ideally, a monthly service will be provided.
- 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 active open service, will prevent a participant from exiting, these monthly check-in services help staff assess the continued success of the service participation and any areas of improvement that may need solutions identified, including referrals. Monthly check-in services don't 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 for training shorter in length than one month.
- Staff will confirm the start of training and case note. Services are reported in NMWCOS 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 attended training.

- If a gap of 90 days or more in services is anticipated (due to health reasons, or a delay before the start of a training program), a planned gap service will prevent a soft exit from occurring before the Planned End Date of the gap.

Individual Employment Plan (IEP)

For participants receiving WIOA funding assistance an IEP is 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 NMWCOS along with case notes that the plan was development in conjunction with both the customer and staff. Case notes reflect the customer received a copy of the plan. Staff maintains a copy of the IEP in the participant paper file and NMWCOS. Goals are entered into NMWCOS to support the plan. As goals are completed and exited, 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 participants. A case note supports this. Goals are updated in NMWCOS. The IEP should ALWAYS be closed upon completion of program goals, if the individual no longer expresses a need for services, or if the participant drops from the program.

Program Exits

At the time the customer has reached their goals and no longer has expressed a need for services that prevents an exit for 90 days, a soft exit from the program will occur in NMWCOS. By default, NMWCOS will report the exit code as Soft Exit. NMWCOS generates this exit after 90 days after exit of last open service or if the projected end date has expired.

This policy rescinds any previous NALWDB policy regarding subject.

INQUIRIES: Contact WIOA Program Manager at 505-986-0363.



NALWDB Chair

4/18/23

Date