



**DEPARTMENT OF WORKFORCE SERVICES
ISSUANCE PY 13-09**

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May 22, 2014

TO: Local Workforce Investment Areas/Service Providers

SUBJECT: WIA Follow-up

1. **Purpose:** To provide information regarding WIA *Follow-up* SERVICES and follow-up ACTIVITIES
2. **General Information:** For all Programs Unless Otherwise Specified. The provision of *Follow-up* SERVICES represents meeting a participant's need and is value-added from the participant's perspective. Whereas the ACTIVITY of gathering performance and outcome data represents value-added from an administrative perspective.

Follow-up, whether as a program element for youth or a core service for adults and dislocated workers, has challenged local workforce systems. When making distinctions between *Follow-up* SERVICES and follow-up ACTIVITIES, consider this guideline:

Telephone, email, or social media contacts with participants and attempted contacts for the purpose of securing documentation to report a performance outcome or other post exit information are not *Follow-up* SERVICES. Contacts of this nature are data gathering ACTIVITIES.

Follow-up SERVICES are not actions that extend the participation period or delay program exit, but may have a direct and positive impact on obtaining employment, employment retention, wage gains, and educational achievement of participants who have exited the program.

Youth Follow-up SERVICES are required for twelve months, and adult/dislocated worker Follow-up Services are required to be made available for twelve months. However, some participants may require services beyond twelve months. Whether to extend *Follow-up* SERVICES beyond twelve months is at the discretion of the Local Board. The types of services provided and the duration of services must be determined based on the needs of the individual. The scope of SERVICES may be less intensive for youth who have only participated in Summer Youth Employment Opportunities. Program operators are encouraged to consider the intensity of the services provided and the needs of the individual youth in determining the appropriate level of *Follow-up* SERVICES. [20 CFR 664.450(b)] [TEGL 3-99, Page 8] [WIA Preamble, Page 49351]

If *Follow-up* SERVICES is listed on the S&T and case notes reflect only attainment of performance and outcome information, then *Follow-up* SERVICES have not been provided; data gathering ACTIVITIES have taken place. Follow-up will receive a “fail” for youth data validation, and may result in a monitoring finding for youth, adult and dislocated worker programs.

Follow-up SERVICES provide intensive support and guidance, and assist in developing a close, trusting relationship. During these contacts, staff may determine whether specific *Follow-up* SERVICES are needed, for example, supportive services such as transportation or child care assistance may be necessary to ensure post program success. It may happen that *Follow-up* SERVICES is the only service a participant requires, and that no specific *Follow-up* SERVICES, such as those in the WIA Regulations (664.450) are necessary. The specific *Follow-up* SERVICES will usually not be continuously provided for twelve months. These services must be recorded on the S&T *and* in case notes. When follow-up begins, it is recommended to move the participant from “My Cases” to “My Follow-up” in Arkansas JobLink (AJL).

The State *required minimum* is one *Follow-up* SERVICE per quarter for four consecutive quarters. *Follow-up* is considered ended if a SERVICE is not provided during a quarter. Staff must make at least three attempts to provide a service during the quarter (exception: speaking with an employer. See below.). The SERVICE status selected on the S&T must be “unsuccessful completion.” Unsuccessful completion is the correct status because the requirement to provide a quarterly SERVICE during twelve months was not met.

Local area policy must describe the frequency *Follow-up* SERVICES are to be provided by staff. If the local policy requires one *Follow-up* SERVICE per month, and staff is not able to provide a SERVICE during a month, the State requirement is met if a SERVICE is provided during the quarter.

Do not select the status “in progress” on the S&T until the first day a SERVICE is actually provided. In other words, do not open *Follow-up* SERVICES, select “in progress,” and enter an “actual start date” such as June 15, if the case notes reflect the initial follow-up was July 2. The SERVICE is not “in progress” on June 15 if the case notes reflect July 2. The first *Follow-up* SERVICE was July 2, which should be the “actual start date.” *The initial quarter begins when the first Follow-up is provided.* In this example, it is important to note that June and July are within two different quarters.

Do not automatically enter *Follow-up* SERVICES on the S&T simultaneously when other services end and then set the status of “in progress” unless *Follow-up* has actually begun. Remember, when the SERVICE is opened and “in progress”, the clock starts counting twelve months to reflect the time period SERVICES are actually provided.

If the initial *Follow-up* is for support and guidance, then open *Follow-up* SERVICES only. If the initial follow-up is a specific SERVICE such as issuing a bus pass, then open

two SERVICES on the S&T as follows: first open *Follow-up* SERVICES, and second open *Follow-up* TRANSPORTATION. Since these are the initial SERVICES, both will have the same start date which will be the date the bus pass was issued to the participant. The reason *Follow-up* SERVICES must be opened in addition to the transportation service is because *Follow-up* SERVICES is used as the over-arching SERVICE to record the entire amount of time that *Follow-up* is provided. Transportation might be provided only for a short time period. The SERVICE called *Follow-up* SERVICES must be opened for all individuals who receive *Follow-up* SERVICE of any type.

The provision of a bus pass, or other specific SERVICES, will usually be for a duration of time shorter than twelve months. If only one bus pass is provided, the start and end date of the SERVICE will be the date provided. If the bus pass is provided for consecutive months, then the end date will be the date the final pass was provided. Some individuals may receive a variety of specific SERVICES where each SERVICE is only a few weeks in duration.

The date of the initial *Follow-up* SERVICES begins the twelve month follow-up period. For example:

If the initial *Follow-up* on the S&T was dated 02/15/2013, twelve months (365 days) is 2/14/2014.

1 st quarter	02/15/2013 to 03/31/2013
2 nd quarter	04/01/2013 to 06/30/2013
3 rd quarter	07/01/2013 to 09/30/2013
4 th quarter	10/01/2013 to 12/31/2013

When *Follow-up* SERVICES are completed, enter a date in the “actual end date” field on the S&T. In the example of the time periods listed above let’s say that: the final follow-up was provided on 11/1/2013, which is during the 4th quarter. Do not enter 11/1/2013 as the end date for *Follow-up* SERVICES. Instead enter February 14, 2014 for the “actual end date.”

Explanation: The requirement to provide twelve months of *Follow-up*, at least one SERVICE each quarter, was met. The final *Follow-up* was during the fourth quarter, but the date of 11/1/2013 when the service was provided cannot be used as the “actual end date” on the S&T because 2/15/13 (first *Follow-up*) to 11/1/2013 does not represent twelve months. For one year to be represented, 2/14/2014 (or greater) must be the “actual end date.” Twelve months or 365 days is 2/15/13 to 2/14/14. Case notes must reflect the actual date the final *Follow-up* occurred. It will be necessary to wait until 2/14/14 to enter the date on the S&T because a future date cannot be entered. Using Report 8 in AJL, staff will be able to locate *Follow-up* SERVICES that do not have an end date.

If *Follow-up* SERVICES are not provided for a total of four quarters, enter an “actual end date” that represents the date of the final SERVICE and select service status of

“unsuccessful completion.” If attempts at contacting the participant were not successful, do not use the date of an attempted contact as the end date. The “actual end date” is the final date SERVICES were actually provided.

Conversations with other individuals, such as family members or friends, are not considered valid *Follow-up* SERVICES. Record the information in case notes. It is not possible to develop a close, trusting relationship, and provide intensive support and guidance as described in TEGL 5-12 by talking with other individuals. Continued attempts should be made to contact the participant during the quarter. Contacts may be made in person, by mail, phone, email, or through social media. *A valid contact is not just sending mail and/or e-mail, etc. You must receive a meaningful response from the participant. Follow-up* does not include sending an invitation to an event. [TEGL 30-10] It is not necessary to print the e-mail, etc., and place it in the file as documentation. Telephone conversations may be documented by adequate case notes and are allowable documentation for *Follow-up* SERVICES.

Exception: speaking with the employer is a valid specific *Follow-up* SERVICE and may be the only SERVICE provided during a quarter, but it should not be the only SERVICE during all four quarters. Actual contact with the participant should be made in other quarters.

Case notes must support *Follow-up* entered on the S&T by containing a description of the SERVICE. Examples include:

- The services/contacts that were provided,
- How the services support the goals, progress, or any outcomes associated with the service,
- Any contact with a participant’s employer, including assistance in addressing work-related problems that may arise,
- Assistance in securing better paying jobs, career development, and further education,
- Tracking the progress of the participant in employment, or
- Other non-performance information gathering type of contact with the participant during the follow-up period.

It is allowable to expend funds for supportive services during the follow-up period when those services are justified and assist the participant with acquisition and/or retention of employment and/or educational pursuits. It is expected that LWIAs develop policies and procedures to address the following: coordination with other entities, non-duplication of services, supportive services provided by WIA that are not available through other agencies and are necessary for the individual to participate in Title I activities. In the process of writing a policy, it is critical to review the following sites: WIA §101(46); CFR 664.440; 664.450, and Subpart H (663) in the WIA regulations.

Not all exiters are required to receive *Follow-up* SERVICES. Follow-up is not required

for the following exit reasons which exclude participants from performance measures. Case notes must document the exit reason selected.

- Institutionalized
- Deceased
- Health/medical or family care
- Reserved forces called to active duty
- Relocated to mandated program (youth only)

At the time a participant enrolls in WIA, the requirement that they may be contacted for twelve months to allow staff to offer *Follow-up* SERVICES and for information gathering should be explained and acknowledged. It is important to obtain and maintain contact information from the participant throughout participation.

YOUTH

As one of ten program elements of services to youth [*WIA §129(c)(2)(I)*], *Follow-up* SERVICES provide support and guidance for youth who are placed in education or employment, to facilitate:

- Sustained employment and educational achievement,
- Advancement along a job and/or educational ladder, and
- Personal development.

One of the examples in the regulations [*20 CFR 664.450*] is “tracking the progress of youth in employment after training.” Follow-up includes more than just a contact to secure documentation for the case file in order to report a performance outcome. Regular contact with the participant in an effort to ensure success in their placement of employment or post-secondary education may be a sufficient *Follow-up* SERVICE as long as the case manager has assessed whether the participant requires services beyond the regular contact. [*TEGL 33-12*]

The case manager’s roles during the follow-up period are to assist youth in overcoming barriers which interfere with the achievement of their career objectives, provide proactive and reactive interventions to encourage retention in education or employment, help troubleshoot employment and personal issues, and provide supportive services to assist in a youth’s advancement to better jobs or postsecondary education and training.

In relation to quality case management, DOL found that programs were offering inadequate or insufficient *Follow-up* SERVICES, providing *Follow-up* SERVICES inconsistently, e.g., “only upon request,” and providing *Follow-up* SERVICES for less than a duration of twelve months. [*TEGL 33-12, Page 4, June 11, 2013*]

Waiver decisions are contained in the attachment to TEGl 27-12, dated May 2013. Information on page 16 states that DOL will not grant a waiver of the follow-up requirements at 20 CFR 664.450(b) for any state. This is the requirement that all youth

participants receive *Follow-up SERVICES* for a minimum duration of twelve months. The types, scope, and duration of services must be based on the needs of the individual.

Follow-up SERVICES begin at completion of program participation, which is program exit. The date of exit is the date the participant has completed all WIA, partner and self-services. However, you do not know the exact exit date until 90 days of no service has passed. Therefore, begin *Follow-up SERVICES* after expected last date of program services (WIA, partner & self-services.).

Expected exit: You are aware that the participant is completing the program. Example: Toni will start nursing training June 5. Her expected last day of services is June 3. *Follow-up SERVICES* can begin June 4. Expected exit is June 3.

If during the 90 day period prior to exit, the participant receives partner services, self-services, or WIA adult services then discontinue providing youth *Follow-up SERVICES* until all services have ended. This does not include youth services. Additional youth services do not require re-enrollment or stopping follow-up. Due to the new services, the expected exit date will change. Youth programs should partner with those other programs to ensure that youth are receiving the necessary services and supports since youth have not exited their program. Open *Follow-up SERVICES* again when the expected date of exit is determined.

The type of *Follow-up SERVICES* provided is based on an assessment of participant needs. Any WIA youth service is allowable as a *Follow-up SERVICE* if it is determined the youth is in need of that service. When a participant is in the follow-up period and requires additional services, it is not necessary to create a new enrollment in the youth program. Such additional services are considered part of follow-up. For example, a participant is placed in employment and three weeks later, during the follow-up period, the participant loses their job and is determined to be in need of additional services such as work experience. This service may be provided as part of *Follow-up SERVICES*. [TEGL 33-12] If during the 90 day period prior to exit it is determined that the youth should be enrolled in the adult program, then follow-up must stop.

Although Federal policy mandates the provision of twelve months of follow-up to all youth, the State recognizes that it might not be possible to provide *Follow-up SERVICES* or to provide those services for twelve months.

- Staff may be unable to locate participants even after several attempts and referrals from others, or
- Participant may have clearly communicated to local staff their disinterest regarding further services or additional assistance.

In these limited instances staff must document one of the following in case notes:

- At least three attempted contacts were made during the quarter, or
- Participant has refused further services.

If it is determined from the youth that he/she is not in need of additional services or assistance, case managers must fully document the details of that conversation in the case file to include documenting the questions that led the case manager to assess that the youth is not in need of services or assistance. Such questions as those pertaining to whether or not a youth is in need of transportation, child care, appropriate work attire, support or mentoring to retain employment or remain in education, health and/or mental health services, or any other services or assistance that can help a youth achieve goals outlined in his/her Individual Service Strategy (ISS). [TEGL 33-12]

For the PY 2012 Workforce Investment Act Standardized Record Data (WIASRD) reporting period and prior, twelve consecutive months of *Follow-up* SERVICES were reported when the *Follow-up* SERVICES start date and end date represented twelve months. Youth Follow-up was reported as “yes.” If the dates were less than twelve months, then “no” was reported. [WIASRD Item #349]

WIASRD reporting for PY 2013, beginning with July 1, 2013, WIASRD Item #1309, will record the most recent date the participant received *Follow-up* SERVICES. If *Follow-up* SERVICES is open, the date reported will be the last day of the reporting period. For example: If the WIASRD being submitted to DOL is for the reporting period July-August-September, the last day of that reporting period is September 30. This is the date that will be reported if the service is open during that quarter. The reporting end date is always the last day of the quarter that is being reported. If *Follow-up* SERVICES is closed, then the date reported will be the service “actual end date” on the S&T. TEGL 4-13, dated August 2013 issued the WIASRD.

A follow-up visit may result in obtaining information for more than one data validation element. For example, during a single telephone contact, the case manager may accomplish follow-up ACTIVITIES to obtain after exit supplemental wage information, and also provide *Follow-up* SERVICES. Case notes are allowable documentation for both elements. DWS Issuance PY 11-04 requires the data validation element number and element name be entered in the Description Field of case notes. For this type of situation, and in the interest of clarity, two separate case notes must be entered as demonstrated below:

DV #84/85 Employed Q1 Supplemental Wages

“I spoke with John at his place of employment, as a contracted employee of a construction firm. This is not UI covered employment so supplemental wages will be entered. During the first quarter after exit, he worked 15 hours a week at \$10.00 per hour for 12 weeks. He made \$1,800.00 during the first quarter after exit.”

DV #83 Follow-up Services Q1

“He continues to do well on the job and still enjoys the work there. He was having a personal issue with one of the other employees, and we discussed

how he might handle it. He said they now have a new manager.”

Documentation to support youth *Follow-up* SERVICES is required per the data element validation guidelines published by DOL. Sources of allowable documentation are:

- (1) Activity sheets,
- (2) Attendance records or roster,
- (3) Documented receipt of follow-up supportive services,
- (4) State Management Information System (MIS), or
- (5) Case notes.

Examples of *Follow-up* SERVICES include the following: [20 CFR 664.450]

- (1) Leadership development and supportive service activities listed in 20 CFR 664.420, 664.440 and WIA §129(c)(2)(F),
- (2) Regular contact with a youth participant’s employer, including assistance in addressing work-related problems that may arise,
- (3) Assistance in securing better paying jobs, career development and further education,
- (4) Work-related peer support groups,
- (5) Adult mentoring, or
- (6) Tracking the progress of youth in employment after training.

Additional *Follow-up* SERVICES listed in TEGl 5-12 include the following:

- (1) Developing a close, trusting relationship before and after placement,
- (2) Providing intensive support and case management during the first part of the follow-up period, since job loss and other setbacks may occur early in post-program,
- (3) Providing engaging activities to help young people stay connected to program staff,
- (4) Providing supportive services, as appropriate, or
- (5) Maintaining contact with employers of youth, and providing the necessary support to both employers and youth to ensure that youth remain employed.

Leadership activities include services such as the following:

[20 CFR 664.420 and WIA §129(c)(2)(F)]:

- (1) Exposure to postsecondary educational opportunities,
- (2) Community and service learning projects,
- (3) Peer centered activities, including peer mentoring and tutoring,
- (4) Organizational and teamwork training including team leadership training,
- (5) Training in decision-making, including determining priorities, or

- (6) Citizenship training including life skills such as parenting, work behavior training, or budgeting of resources.

Supportive Services include the following:
[20 CFR 664.440 and WIA §129(c)(2)(G)]

- (1) Linkages to community services,
- (2) Assistance with transportation,
- (3) Assistance with child care and dependent care,
- (4) Assistance with housing,
- (5) Referrals to medical services, or
- (6) Assistance with uniforms or other appropriate work attire and work-related tools, including such items as eye glasses and protective eye gear.

For follow-up information refer to TEGL 30-10, TEGL 5-12, 20 CFR 664.450, WIA §129(c)(2)(1), TEGL 3-99, and the Toolkit for Effective Front Line Services to Youth.
<http://wdr.doleta.gov/directives/attach/TEGL/TEGL30-10.pdf>
http://wdr.doleta.gov/directives/attach/TEGL/TEGL_5_12.pdf
<http://wdr.doleta.gov/directives/attach/TEGL3-99.pdf>
http://www.doleta.gov/youth_services/pdf/toolkit%202007-manual.pdf

ADULTS AND DISLOCATED WORKERS

The goal of *Follow-up* SERVICES is to ensure job retention, wage gains and career progress for participants who have become employed in unsubsidized employment.
[WIA Regulations Preamble Page, 49319]

Follow-up is not a requirement for adults and dislocated workers, but is required to be made available, as appropriate, for a minimum of twelve months following the first day of employment, to participants who are placed in unsubsidized employment. There are no federal requirements to report follow-up, and, there is no data element validation. Twelve consecutive months of *Follow-up* SERVICES are represented when *Follow-up* SERVICES has a start and end date on the S&T that represents twelve months. [WIA §134(d)(2)(K)] [20 CFR 663.150] After WIA services have ended, provide at least one *Follow-up* SERVICE per quarter for four consecutive quarters supported by case notes.

“Available as appropriate” means that the intensity of follow-up provided may vary, depending upon needs of the individual. While follow-up must be made available, not all adults and dislocated workers who are placed in unsubsidized employment will need or want such services. Participants who have multiple employment barriers and limited work histories may be in need of significant follow-up to ensure long-term success in the labor market. Other participants may identify an area of weakness in the training provided by WIA that will affect their ability to progress further in their occupation or to retain employment. [WIA Regulations Preamble, Page 49319]

Follow-up SERVICES for adults and dislocated workers may include, but are not limited to:

- (1) Additional career planning and counseling,
- (2) Contact with the participant's employer, including assistance with work-related problems that may arise,
- (3) Peer support groups,
- (4) Information about additional educational opportunities, or
- (5) Information/referral to supportive services available in the community.

Supportive services are allowable for individuals participating in core services [20 CFR 663.805]. Follow-up is a core service, and it is, therefore, permitted to expend funds for supportive services during the follow-up period.

Supportive services in the form of needs related payments are not an allowable *Follow-up* SERVICE since such payments cannot be offered to those who are employed. [§WIA 134(e)(3)(A); 20 CFR 663.820]

It is expected that provision of training and supportive services after entry into unsubsidized employment will be limited, and will be part of the Individual Employment Plan (IEP), clearly documented in the participant case file. Such post-placement training and supportive services should be determined as necessary on an individual basis. [WIA Regulations Preamble, Page 49320]

FOLLOW-UP CASE NOTES FOR ALL PROGRAMS (Unless Otherwise Specified)

Once a service has been entered on the S&T, a corresponding case note must be entered. Case notes must provide a complete, accurate, and concise explanation of each *Follow-up* SERVICE, and any associated outcomes. For example, a service may include: assistance in securing better paying jobs, career development, or further education. Tracking the participant's progress in employment and training, contacts with the participant's employer, including assistance in addressing work-related problems that arise must be recorded.

It may be difficult to determine whether information gathered is considered an activity to obtain performance information or a service to support the participant. From the beginning of a case manager and participant relationship, the predominant discussion topics and focus of services are regarding education and employment. So it is natural that these topics will dominate follow-up conversations, and be of a nature to develop a supportive relationship with the participant. Case notes for *Follow-up* SERVICES contacts must be written in such a way to reflect that gathering performance information was not the purpose of the conversation, but be sufficient enough to record interactions with the participant, or employer, and to record information regarding specific follow-up provided.

In the case notes description field to support *Follow-up* SERVICES for youth, enter:

DV #83 Follow-up Services Q1 (or whichever quarter is appropriate). #83 is the data element validation number for youth *Follow-up* SERVICES. When writing a case note for adults or dislocated workers, do not use #83 in the description field. Follow-up for adults and dislocated workers is not part of data validation. Instead enter Follow-up Services Q1. Do not enter “General Note” for *Follow-up* SERVICES.
[Issuance PY 11-04]

For an example to document specific follow-up services for youth enter the following in the case notes description field: DV #83 Follow-up Transportation Q1. For adults and dislocated workers enter: Follow-up Transportation Q1.

Examples of follow-up ACTIVITIES include the following:

- Date of exit
- Other reasons for exit
- Entered training related employment
- Entered non-traditional employment
- Employment & wages after exit
- Credential
- Youth placement

Example to document in case notes the ACTIVITY of obtaining supplemental wage information from the participant for data validation purposes. In the description field enter: DV #84/#85 Supplemental Wages Q1.

EXAMPLES OF UNACCEPTABLE & ACCEPTABLE FOLLOW-UP NOTES:

Example #1 (Six case notes from one participant file)
Unacceptable for *Follow-up* SERVICES

Note #1: After Exit Q1

The “actual start date” for the initial quarter *Follow-up* SERVICE entered in the S&T was 6/3/10. Date of first case note was 7/13/10.

Case note reads as follows:

“Mary is working at the hardware store Q1 making \$15.00 per hour.”

Explanation of two reasons why this is not a valid *Follow-up* SERVICE:

#1. The “actual start date” entered on the S&T was 6/3/10. This date should represent the date that follow-up began. However, there is not a corresponding follow-up case note on that day. The date of the initial follow-up case note is 7/13/10. To represent the initial follow-up, both the date of the service and the date of the corresponding case note should be the same date. June and July are in two different quarters. June can’t represent the first follow-up quarter because a service was not provided during the month.

#2. Information in the note was not appropriate to support *Follow-up* SERVICES. The contact was to gather after exit information, and, therefore, is a follow-up ACTIVITY. This was the initial follow-up and because the contact did not result in services, it should not have been entered on the S&T. The information should have been recorded only in case notes. As a result, first quarter *Follow-up* SERVICES were not provided. Furthermore, because *Follow-up* SERVICES were not provided during the 1st quarter, *Follow-up* SERVICES should have ended in accordance with this policy.

Note #2: After Exit Q1

“Follow-up Child Care” was entered on the S&T.

Several case notes discuss child care including the following:

- Case manager was advising the participant about child care,
- Case manager contacted child care facilities,
- Discussed with the participant different child care facilities to use.

Child care was never provided, therefore, it was incorrect for the service of “Follow-up Child Care” to be entered on the S&T. The participant decided to use a relative for child care.

Note #3: After Exit Q2

“He is doing great. He told me that he is doing good in all of his classes and is enjoying spring break.”

During the second quarter, the case manager was able to speak with the participant. The case note reflects that a *Follow-up* SERVICE occurred, therefore, making this the initial quarter that a *Follow-up* SERVICE was provided. *Follow-up* SERVICES should be entered on the S&T at this time with a start date that represents the day this contact was made.

Note #4: After Exit Q3

During this quarter, the case manager wrote a letter requesting the participant to call. A response was not received. Writing a letter or sending an e-mail are not *Follow-up* SERVICES unless a meaningful response is received. An actual *Follow-up* SERVICE was provided later in the third quarter.

Note #5: After Exit Q4

Case manager spoke with the grandmother, but was not able to speak with the participant after several attempts. The participant was not able to be contacted at all during the fourth quarter. *Follow-up* SERVICES were not provided to the participant.

Note #6: Final

The final note reported that twelve months of follow-up had been completed and the status on the S&T was marked “completed”. However, *Follow-up* SERVICES were not provided during the 1st or 4th quarters. The status field should not be marked

“completed”. It should be marked “unsuccessful completion” because twelve months of follow-up were not provided. The actual end date should be the date of the final *Follow-up* SERVICE which was during the third quarter. (Note: This policy states that Follow-up Services stop if no service is provided during a quarter. Therefore, services should have ended the first quarter.)

Example #2

Unacceptable for *Follow-up* SERVICES

Several notes contained the following information:

- Not able to talk to the participant,
- Did not have current phone number,
- Called the college to learn she was enrolled and had received a credential,
- Called another college and learned she was enrolled there,
- Called a friend who had not heard from her for a long time,
- Found her employer on I-Wage but could not find a phone number for the employer,
- Sent letters to the participant – no response.

After all of these unsuccessful attempts to contact the participant, the final case note stated:

“Participant has successfully completed *Follow-up* SERVICES.”

None of the notes reflected *Follow-up* SERVICES. *Follow-up* SERVICES was incorrectly entered on the S&T, and, furthermore, the status selected was “completed”. This information should be recorded only in case notes.

Example #3

Acceptable for *Follow-up* SERVICES (Three case notes from different participant files.)

Note #1

“I spoke with Sam on the phone. He has registered for classes for the fall semester. He has not found a job yet, but continues looking for one. I told him to ask if the college has a work study program that he can participate in. He will let me know if he finds a job before beginning college.”

Note #2

“I spoke with Jennifer to see how she is doing. She is now working as a CNA at the nursing home. She said that sometimes she had trouble getting to work on time because her car was not reliable and

she was trying to save money to get it repaired. She is currently working 30 hours per week. Her supervisor's name is Joan. Jennifer enjoys her job and is hoping that her hours and pay increase as she gains more experience.”

Note #3

“Follow-up service provided was counseling on completion of post secondary education.”

The third example is short and to the point, but states the focus of the conversation. It is apparent that the topic was not obtaining performance and/or outcome information. However, it is important to remember that a case note must have sufficient information for the case manager to document and remember the conversation. It should also contain enough information for a new case manager to become familiar with the participant's history.

3. **Action Required**: Distribute and discuss among appropriate staff. Modify in-house policies as needed.
4. **Attachments**: Follow-up PowerPoint Presentation
5. **Inquiries**: Contact the WIA Technical Assistance Unit
6. **Expiration Date**: Continuing.