

Region 4 Workforce Board Case Closures and Exit Policy

Purpose: To provide policy for the understanding of case closures and exit dates

References: WIOA, 20 CFR 681.450, DWD Memorandum on Interim Guidance on Participation and Exit dates

Case Closures

When a participant:

- completes their activities and enters employment or
- becomes disabled or
- is otherwise incapable of working, or
- voluntarily opts out of services,

the participant's case should be closed and employment information updated. Case closure should not be confused with Exit (see exit procedures below). The decision to close the case should be documented accordingly in the case notes. If participant becomes employed and activities need to remain open (ex. has not completed training), employment information should be entered in to the personal profile/employment history section in ICC.

Detailed and verified information must be provided and supported with the case note. At least one of the following forms of documentation can be used for verification:

- UI wage records from another state (if the individual was placed in another state and the wage information is available);
- a letter or document from the employer at which the individual worked which includes information on the dates the individual worked (wage information can be collected as well but is not required);
- any employer-generated record which the individual can request and forward to staff which includes information on the dates the individual worked (wage information can be collected as well but is not required);
- a case note which includes notes of a conversation with the individual or employer and which verifies employment in the proper time period (data recorded in the Follow-Up Contacts Screens shall serve as case notes for data validation documentation purposes); or
- a copy of a paycheck stub which confirms employment in the proper time period; or
- Employment Confirmation form or reasonable facsimile; or
- Agency Verification form or reasonable facsimile

While a participant's case may be closed because the participant entered employment or began post-secondary training (Youth only), the participant's case may be reopened if the participant needs services in addition to those provided through follow up services. Attachment A includes step by step instructions.

Closure Screen

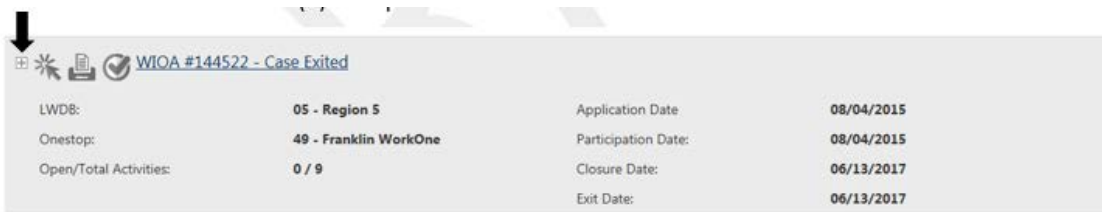
DWD is requiring that employment data be recorded at the time of case closure.

A benefit of completing closures is that the case manager will be notified of open activities which could aid in reducing the number of system closed completion statuses. If the exit date is determined by an activity that was system closed, there is a risk of data validation errors.

While Assisting an Individual: Staff Profiles Case Management Profile Program



Scroll to WIOA and click the (+) to expand



Scroll to closure and click (+) to expand- Click Create Closure



Complete closure screen and click Save

General Information

Username: 3657838

Name: TesterFive, Fund

Last service date: 01/26/2018

Exit Date:

Exit Reason:

LWIA: 01 Region 1

*** Office Location:**

Case closure date: 01/26/2018

*** Accountability Closure/Exit Status:**

Outcome Information

School Status at Exit:
[Verify](#) | [Scan](#) | [Upload](#) | [Link](#)
 Applicant statement or attestation

Employment Information

*** Entered Employment:**

Employer Name	Job Title	Start Date	End Date	Non-Traditional	Training Related	Action
test	test	03/17/2018		No	No	Edit Delete

[\[Add Employer \]](#)

Staff Information

[\[Add a new Case Note \]](#) | [\[Show Filter Criteria \]](#)

ID	Create Date	Subject	Action
No data found.			

Current Case Manager: Case currently Not Assigned to a Case Manager
[Assign Case Manager](#)
[Assign Me](#)
[Remove Case Manager Assignment](#)

The closure screen must be completed for each program in which the client is being served. Detailed and verified information must be provided and supported with a case note.

Case Managers should complete the drop downs below. If the participant is retiring or has an invalid social security number then select the appropriate term from the Accountability Closure dropdown. If participant does not meet any of the above then select “Neither Condition Applies”.

Entered Employment dropdown: If the participant is employed, select “employed” and add the employer information.

*** Accountability Closure/Exit Status:**

Outcome Information

School Status at Exit:
[Verify](#) | [Scan](#) | [Upload](#) | [Link](#)

Employment Information

*** Entered Employment:**

No employers available.

[\[Add Employer \]](#)

If the employer has been entered prior you may select it by clicking on “search individual employment history” at the top of the “add employer” page.

[Add/Edit Employer](#)

Employer Information

[Search Individual Employment History](#) [Select from Internal Job Order/Placement](#)

* Employer Name:

Verify Employer Name: [[Verify](#) | [Scan](#) | [Upload](#) | [Link](#)]

When to formally close a case -

In ICC a case closure should be completed when a participant becomes employed and activities are completed. If participant becomes employed and activities need to remain open (ex. has not completed training), employment information should be entered in to the personal profile/employment history section in ICC. Participants should be notified that their cases are being transitioned to follow up and for what reason, along with information on the type and frequency of follow-up contact to expect. The term ‘exit’ is not mandatory and may be found abrasive. Instead, you may wish to explain to the participant that they are transitioning to another phase of service where they will become more and more independent, but that you are still there to help them if they need it and will be in contact.

A case note should be made indicating the formal closure of the case and the reason, i.e., no longer in need of, or able to benefit from services, lack of participation, or customer requested exit.

Cases that are closed may be re-opened within 90 days if the participant needs additional assistance with support services or if the customer loses the job and needs job search assistance.

Exits

A participant will automatically exit the program when they have not received WIOA services for 90 consecutive days. The exit date is the last date of service with no other services planned. The only way to prevent a system exit is to provide a service before the 90th day after the last service. This service **must** be appropriate for the participant.

Once a participant has not received any services funded by the program, or a partner program, for 90 consecutive calendar days, has no gap in service, and is not scheduled for future services*, the date of exit is applied retroactively to the last day on which the individual received a service funded by the program or a partner program.

- Examples of activities that do not extend the period of participation, or delay program exit, include:
 - Follow-up services which may include:
 - Additional career planning and counseling
 - Assistance with work-related problems that may arise
 - Peer support groups
 - Information about additional educational opportunities
 - Informational mailings and
 - Referral to supportive services available in the community
 - Monthly Check-Ins (Non-TAA)
 - Determination of eligibility to participate in the program
 - Administrative case load management services that involve contact with the customer to obtain information such as employment status or educational progress
 - Income maintenance or support payments such as Unemployment Insurance, TANF, Food Stamps, unsubsidized childcare, etc.

The Exit date is a critical data validation item. If the Exit date is not accurate, not only will this item fail but all other data items related to the exit date may fail.

A “hard” exit date may be entered when a participant is:

- Institutionalized
- Receiving medical treatment lasting longer than 90 days
- Deceased
- Active Duty for at least 90 days
- Relocation to a mandated program

LWIA: 04 - Region 4
Create Staff Username: 3565218
Case Manager: N/A

Onestop: 36 - WorkOne Lafayette (Tippecanoe County)
Edit Staff Username: 3565218
Temporary Case Manager: N/A

Eligibility Summary	
Participation	01/30/2017
Activities / Enrollments / Services	1
Measurable Skills Gain	0
Literacy & Numeracy	0
Credentials	0
Closure	N/A
Exit / Outcome	N/A

[Create Exit/Outcome](#)

**Note – the phrase ‘not scheduled for future services’ does not apply to an individual who voluntarily withdraws or drops out of the program.*

See additional Exit Date Guidance attachment A

Effective Date: July 2018

Attachment A

Quick Reference Guide for Case Closure

A. When a customer no longer requires training or Individualized Career level services and is employed :

1. Check status of current activity(s) (Edit-Service for actual end date)
2. If applicable, enter credential in ICC
3. Update Job History showing employment
4. Enter Closure info
5. Enter appropriate case notes
6. Enter required documentation – reference supplemental data policy
7. Follow-up on employed status on quarterly basis record contact info
8. If needed, record a Follow Up service and case note. (Individualized Category – Follow Up Service)

B. When a customer no longer wants or participates in training or Individualized Career level services and is not employed:

1. Record status of current activity(s) (Edit-Service for actual end date if service is still open)
2. If applicable, enter credential in ICC
3. Enter appropriate case notes
4. Attempt regular contacts (enter case note) & provide services as needed until client is employed
5. Enter exit case note and Follow-up on status on quarterly basis

C. When a customer in training returns to work before completing training:

1. Contact and ask customer if he/she will remain in training
 - a. If “yes”, inform customer that monthly contacts and Time and Attendance Reports (TAR), need to continue –
 - o if willing, leave in OST and maintain monthly contacts and TARs.
 - o if refuses, exit from OST (withdrew before completing)
 - b. If “no” exit from OST (withdrew before completing)
 - c. Record status of current activity(s) (Edit-Service for actual end date if service is still open)
2. Enter appropriate case notes
3. Enter Case Closure info and Follow-up on employed status on quarterly basis

NOTE: WorkOne staff must provide follow up services to adult and dislocated workers who are in unsubsidized employment for 12 months after first date of employment (see Follow Up policy). After all quarterly follow ups are completed on a client, case manager status in ICC should be changed to “Inactive.”

Attachment B

Exit Dates and Data Validation - Regional Guidance

To validate the exit date, there must be a MATCH by:

1. Documentation of services in case file or case notes.
2. ICC -paper or scanned documentation is not required. However, detailed information must be present in the case management system sufficient to validate the data item.

For a Service in ICC to be 'counted' as a service verified for the Exit date, **a case note must be attached**. If there is not a case note attached to the last service, the exit date will fail as it not verified. Also the Planned End date and/or the Actual End date may impact the exit (if no other services are provided beyond the Planned or Actual End dates. When a Planned End date has been entered, an Actual end date should then be entered when the service is exited/completed and a case note must be entered. Example: If you become aware on June 5th that the customer completed the training on May 22nd enter the Actual End date of May 22nd and post your case note on June 5th stating the training was completed on May 22nd. The date stated in the case note must MATCH the end date.

Please ensure actual end dates are entered and that there is a case note attached for each service and the Actual End date.

If there is a planned or actual end date after a 'last' service and there is not a case note for the planned or actual end date, the exit date is incorrect.

Examples:

Example 1

The last service posted in ICC on 1/15/2017 is 1-1 counseling service, but no case note.

If the last service provided to a customer in on 1/15/2017, but no case note is entered, the service is not verifiable, therefore it cannot be considered the 'last service' and the exit date fails data validation. ***Every WIOA service must have a case note attached***

*Notes: The WIOA Monthly Check-In and Supportive Services **are not** considered a countable service and does not start or end a POP. So these services are not considered in the Exit date calculations.*

Example 2

Planned End date is past the last posted Service in ICC

The last service posted in ICC is 1-1 Counseling provided on December 29, 2015 and case note reflects customer is attending and doing well in training.

Planned end date is March 15, 2016 and the training plan shows class to end 03/15/2016 90 days have passed and the Exit date is recorded as 03/15/2016 as ICC uses Planned end date as the 'last' service. However, the Exit date will fail as no case note reflecting a service

actually occurred on 03/15/2016. If staff had entered a case note on March 15th verifying the customer was still in class or had changed this to an actual end date – (when we can verify the customer completed training until March 15th) and entered a case note this would meet validation standards.

A January check in with the customer should have occurred and indicated if the customer was still attending class. If the customer can no longer be reached, then verification with the training vendor of when the customer last attended class should occur, the actual end date entered, and case note reflecting why. If the training vendor cannot provide then the Actual End should be when you could last verify the last date of attendance, which in this case is December 29, 2015.

Note:

If the Actual End Date turns out to be a different date than the Planned End Date, then the Planned End Date should be modified to match the Actual End Date. Also, if the Planned End Date has passed but the customer is still participating in the service, the Planned End Date needs to be extended.