



CENTRAL ARKANSAS Workforce Development Board

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Policy Number: Section 2 Policy 17

Effective Date: 12-09-2024

Case Management and Participant Files Policy

Purpose:

The purpose of this policy is to describe and to detail the regulations concerning case management and participant files of the Central Arkansas Workforce Development Area.

References:

WIOA §§ 129(c)(3)(B) & §134(c)(2)(A)(xii)

20 CFR 380.220(b)

20 CFR 678.430(b)

20 CFR 681.420(e & f)

TEGL 19-16

ADWS Policy No. – 4.2 (Case Management and Participant Files)

Policy:

The Central Arkansas Workforce Development Board authorizes the administrative entity to develop and implement procedures and forms required to conduct compliant and efficient workforce business. This policy identifies the requirements and acts as a guidance on how to develop the necessary procedures and forms.

Career Consultants and One Stop Center Managers are essential front-line staff who are the core of the WIOA Title I-B programs for the Central Arkansas Workforce Development Area. They welcome applicants and make them feel comfortable. They determine eligibility for programs, as well as for particular services. They evaluate the assessments, skills, interests, and aptitudes of participants to help the participants receive the services they need to obtain or retain appropriate employment. They have regular contact with participants and serve as career counselors, progress monitors, cheerleaders, and coaches. After participants exit, they identify appropriate follow-up services to help former participants be successful in their chosen occupations.

To best serve potential participants, case managers must read and understand the policies, procedures, and forms for the Central Arkansas Workforce Development Area. Case managers should regularly review all policies and procedures so that they are familiar with services and requirements and can, therefore, give individuals all needed services for which the participant qualifies.

In addition to CAWDB forms, the administrative entity has the authority to use/substitute Arkansas Division of Workforce Services (ADWS) forms as deems necessary.

In determining eligibility, the case manager must use the eligibility determination form, as well as CAWDB's priority of service policies.

The case manager must use the IEP or ISS to determine and document the need for services.

Every individual who submits a WIOA application is a reportable individual. Information for every reportable individual must be entered into Arkansas Job Link (AJL), including all demographic information given. After an applicant has been determined eligible for a program, entering all appropriate information into AJL is part of the enrollment process.

Case Notes

AJL is also part of the case management process. Case notes, services given by any entity, and other appropriate information should be entered as events happen or information is available. All case notes and services provided by Central staff or any program partner must be entered into AJL.

Every participant must receive information concerning the following topics, as applicable, and documentation of receipt and understanding of this information must be maintained in the case file:

- Hatch Act – if participating in work-based services /activities.
- Personnel Policies – if participating in work-based services/activities.
- Rights, Responsibilities, and Benefits – May be specific to services/activities the participant is participating in.
- Receipt of Local Grievance/Complaint Procedure. At a minimum, this must be the procedure of the local program provider or One-Stop Operator.
- Equal Opportunity information.

Authorization to obtain and release information is on the last page of the application. Case managers must review this information with the participant to be sure he/she understands what has been signed.

Case notes should be made when the participant is enrolled, at least once each month while the individual is a participant, and at any time something significant happens. There must be more than merely "an attempt to contact with no answer" in the case notes.

Case notes must be entered into AJL and kept in the participant file. Forms and notes must be written in ink, not pencil. No white-out may be used in files. If a mistake is made, it must be crossed through once or twice, initialed, and the correction information put beside the original information. Forms must be dated when they are completed and signed. Applicants cannot be allowed to sign blank forms.

The case file (electronic or on paper) must contain a determination of need for training services as determined through the interview, evaluation, or assessment, career planning.

Original paper notes and documentation must be placed in a 6-tab folder in the order below:

- TAB 1 (Front left): Data Validation & Enrollment & Eligibility Information

Information in tab: Data Validation Checklist on top, with other information in the number order on the checklist AND all documents collected related to enrollment for eligibility information.

Examples: Application, eligibility documentation, barrier information, low-income documentation, dislocated worker documentation.

- TAB 2 (Front right): Notes, if printed
Information in tab: Program notes, and enrollment notes in chronological order with most recent on top.
- TAB 3 (Middle left): Case Management Information.
Information in tab: ISS/IEP on top, followed by assessments, testing, and other case management information in chronological order with most recent on top.
- TAB 4 (Middle right): Miscellaneous Documents and AJL Printouts not in another Tab
Examples: Referral forms, Photo & Story Release Form, Exit Form, Partner Provided Form
- TAB 5 (Back Left): Training Information.
Information in tab: All training information, including occupational skills training, RA (educational component), high school, and Youth occupational training accompanying work experience Examples: ITA, transcripts, degree plans, financial aid information, class schedule, attendance documents, and supportive services related to training.
- TAB 6 (Back right): Work Experience and Workforce Training Information.
Information in tab: All information related to work experience or workforce training, including OJT and work component of RA.
Examples: Contract for work, work permit, work evaluations, I-9, job description, time sheets, supportive services relating to work.

The individual employment plan (IEP) and Individual Service Strategy (ISS) should be used to identify the employment goals, appropriate achievement objectives, and appropriate combination of services for the participant to achieve his or her employment goals.

The provision of individualized career services and training services must be based on the employment and service needs of the individual as determined jointly by the individual and the Career Consultant or One Stop Center Manager and should be identified through an individual employment plan (IEP) or Individual service strategy (ISS).

Approved by: <u>Michael Hawn</u>	Date: <u>10/9/2024</u>
Title: <u>CAWDB Chairperson</u>	

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