

**NORTEC
POLICY STATEMENT
FOLLOW-UP SERVICES AND CONTACTS**

Effective Date: July 1, 2023

PURPOSE

The purpose of this policy is to provide guidelines to the Service Providers (NoRTEC Subrecipients) regarding the follow-up procedures for the Adult, Dislocated Worker and Youth programs under the Workforce Innovation and Opportunity Act (WIOA).

The following provides information on the minimum requirements for the documentation of participant follow-up after participation in the WIOA program. Service Providers may include additional elements in their local policies and procedures, so long as they are in conformance with this policy, the WIOA, DOL Regulations, and State of California Directives.

EXITED PARTICIPANTS

After a participant has completed his/her last service under the WIOA program, a case closure shall be entered into the participant tracking system (CalJOBS). Ninety days after the closure date, CalJOBS will soft-exit the participant from the WIOA program. The soft-exit process will record the exit date to match the end date of the last reported service in CalJOBS.

Follow-up Services may be provided after the case closure is created and may be entered in CalJOBS. Follow-up Services are defined in the State of California's Directive WSD19-06 and are numbered F01-F22.

Note: Follow-up activity codes may be entered after the case closure is created and before the 90-day soft-exit clock has expired. These activity codes DO NOT restart the 90-day soft-exit clock.

GLOBAL EXCLUSION EXITS

Global exclusion exits are those that remove a participant from both the numerator and the denominator for the calculation of performance standards. They include:

Adult/Dislocated Workers¹

1. **Institutionalized** – The participant exits the program because he or she has become incarcerated in a correctional institution or has become a resident of an institution or facility providing 24-hour support such as hospital or treatment center during the course of receiving services as a participant. *While there is no minimum length of stay in an institution to qualify for the use of this exclusion, it is NOT federal intent to exit a participant after an overnight stay in jail or in a hospital or treatment center. It should only be used when the participant is unable to continue to receive program services and an explanation shall be included in the case notes in the participant file.*

¹ DOL TEGL 10-16, Page 47: https://www.dol.gov/sites/dolgov/files/ETA/advisories/TEGL/2016/TEGL_10-16.pdf

2. Health/Medical – The participant exits the program because of medical treatment and that treatment is expected to last longer than 90 days and precludes entry into unsubsidized employment or continued participation in the program.² *This category does NOT allow for a health/medical global exclusion exit of a participant to take care of a family member.*
3. Deceased – The participant is deceased.
4. Reservist Called to Active Duty – The participant exits the program because he/she is a member of the National Guard or other reserve military unit of the armed forces and is called to active duty for at least 90 days.

Youth³

1. Institutionalized – The participant exits the program because he or she has become incarcerated in a correctional institution or has become a resident of an institution or facility providing 24-hour support such as hospital or treatment center during the course of receiving services as a participant. *While there is no minimum length of stay in an institution to qualify for the use of this exclusion, it is NOT federal intent to exit a participant after an overnight stay in jail or in a hospital or treatment center. It should only be used when the participant is unable to continue to receive program services and an explanation shall be included in the case notes in the participant file.*
2. Health/Medical – The participant exits the program because of medical treatment and that treatment is expected to last longer than 90 days and precludes entry into unsubsidized employment or continued participation in the program.⁴ *This category does NOT allow for a health/medical global exclusion exit of a participant to take care of a family member.*
3. Deceased – The participant is deceased.
4. Reservist Called to Active Duty – The participant exits the program because he/she is a member of the National Guard or other reserve military unit of the armed forces and is called to active duty for at least 90 days.
5. In Foster Care and Moved from the Area by the Foster Care System – The participant is in the foster care system as defined in [45 CFR 1355.20\(a\)](#), and exits the program because the participant has moved from the local workforce area as part of such a program or system.

Global exclusion exits for all programs must be accompanied by documentation in the participant file—either through documentary evidence from an appropriate entity/agency or collateral contacts with staff from appropriate entities/agencies (newspaper or other published notices may also be used). Self-attestation shall be used to document these exits only after all other attempts to collect documentary or collateral contact verification fail.

² “Medical treatment” may include a doctor’s note stating the participant may not go back to work until a date that is more than 90 days beyond the case closure date.

³ DOL TEGL 10-16, Page 48: https://www.dol.gov/sites/dolgov/files/ETA/advisories/TEGL/2016/TEGL_10-16.pdf

⁴ “Medical treatment” may include a doctor’s note stating the participant may not go back to work until a date that is more than 90 days beyond the case closure date.

NoRTEC approval is required for global exclusion exits. Global exclusion exits are exempt from the follow-up contact procedures.

FOLLOW-UP SERVICES

A. Adult and Dislocated Workers

Follow-up services may be provided to adults and dislocated workers who entered into unsubsidized employment at program closure/exit for up to *12 months after the first day of employment*.

Follow-up services may include:

- Referral to community resources;
- Referral to medical services;
- Tracking progress on the job;
- Work-Related Peer Support Groups;
- Assistance securing a better paying job;
- Career development and further education planning;
- Assistance with work-related problems;
- Supportive services (transportation, work-related uniform/attire, work-related tools, housing assistance, utilities, dependent care, medical services, educational testing).

B. Youth

All youth⁵ must be offered an opportunity to receive follow-up services that align with their individual service strategies. These services must be provided to all participants for a minimum of 12 months unless the participant declines to receive follow-up services or the participant cannot be located or contacted. [Regs, 681.580]

Follow-up services are critical services provided following a youth's exit from the program to help ensure the youth is successful in employment and/or postsecondary education and training. Follow-up services may include regular contact with a youth participant's employer, including assistance in addressing work-related problems that may arise.

Follow-up services may also include:

- Supportive services;
- Adult mentoring;
- Financial literacy education;
- Services that provide labor market and employment information about in-demand industry sectors or occupations available in the local area (e.g., career awareness, career counseling, and career exploration services); and
- Activities that help youth prepare for and transition to postsecondary education and training.

See the Employment Development Department, Workforce Services Division, [Directive WSD19-06](#), entitled "CalJOBS Activity Codes" for definitions of the above noted follow-up services for

⁵ Youth that are exited under WIOA due to a global exclusion exit are not mandated to receive follow-up services.

Adults, Dislocated Workers, and Youth (these codes are defined under the “Follow-up Activity Codes” contained in [Attachment 1](#) to Directive WSD19-06).

FOLLOW-UP CONTACTS

All participants that have been exited from the program into unsubsidized employment (or in the case of Youth, entered into employment, education, or advanced training) must be contacted to gather information about the need for follow-up services, employment and/or school status, and wages (if employed). These contacts shall be conducted and entered into CalJOBS within the **two calendar months** following the end of a required contact quarter.

Following are timelines associated with exit quarters:

Exit Quarter	First Quarter After Exit	Follow-up Contact Time Period (To Gather Information About First Quarter After Exit)
July 1 – September 30	October 1 – December 31	January 1 – February 28
October 1 – December 31	January 1 – March 31	April 1 – May 31
January 1 – March 31	April 1 – June 30	July 1 – August 31
April 1 – June 30	July 1 – September 30	October 1 – November 30

Exit Quarter	Second Quarter After Exit	Follow-up Contact Time Period (To Gather Information About Second Quarter After Exit)
July 1 – September 30	January 1 – March 31	April 1 – May 31
October 1 – December 31	April 1 – June 30	July 1 – August 31
January 1 – March 31	July 1 – September 30	October 1 – November 20
April 1 – June 30	October 1 – December 31	January 1 – February 28

Exit Quarter	Third Quarter After Exit	Follow-up Contact Time Period (To Gather Information About Third Quarter After Exit)
July 1 – September 30	April 1 – June 30	July 1 – August 31
October 1 – December 31	July 1 – September 30	October 1 – November 20
January 1 – March 31	October 1 – December 31	January 1 – February 28
April 1 – June 30	January 1 – March 31	April 1 – May 31

Exit Quarter	Fourth Quarter After Exit	Follow-up Contact Time Period (To Gather Information About Fourth Quarter After Exit)
July 1 – September 30	July 1 – September 30	October 1 – November 20
October 1 – December 31	October 1 – December 31	January 1 – February 28
January 1 – March 31	January 1 – March 31	April 1 – May 31
April 1 – June 30	April 1 – June 30	July 1 – August 31

All participants shall be contacted a minimum of four times (once per quarter) for the one-year follow-up period. If a participant is unable to be contacted on the first attempt in a quarter, a minimum of three separate attempts during the two calendar month period following the end of the quarter is required.

Follow-up contacts shall use the approved NoRTEC form to record information. A copy of the form should be kept in the participant file and completed for each quarter after exit. The most recent version of the form can be found here:

<https://www.ncen.org/index.php/resources/forms>

POLICY EXCEPTIONS

Service Providers (NoRTEC Subrecipients) may make exceptions to this policy only with prior written authorization from the NoRTEC Administrative Entity.