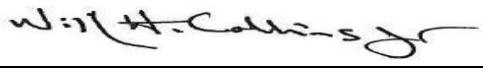
	NORTH CAROLINA DEPARTMENT OF COMMERCE DIVISION OF WORKFORCE SOLUTIONS
	DWS POLICY STATEMENT NUMBER: PS 01-2016
	Date: January 6, 2016
	Subject: NCWorks Online Service Activity Codes and Definitions; Guidance on Case Notes and Exit Dates
	From:  <hr/> William H. Collins, Jr. Assistant Secretary for Workforce

Purpose: To provide NCWorks Online Participant Service Activity Codes and Definitions, guidance on Case Notes and NCWorks Online Exit Dates.

Background: Participant service activity codes are necessary to correctly code customer services in NCWorks Online for Career Services (Adult Basic, Individualized, and Follow-up), and Training Services. The provision of services includes assisting individuals in their efforts to obtain and maintain employment.

Workforce Innovation and Opportunity Act (WIOA) programs are required to document services in case notes. Exited participants should have case notes that clearly indicate the last WIOA or partner-funded service(s) received and correspond with the “soft exit date” (defined below) in NCWorks Online. All case notes shall follow the established guidelines found in the attached “Guidance on Constitution of Case Notes.”

In addition, all services provided during WIOA enrollment must be detailed on either an Individual Employment Plan (IEP) for Adults and Dislocated Workers or an Individual Service Strategy (ISS) for Youth. It is recommended that the IEPs and ISSs are updated at least once annually.

The U.S. Department of Labor requires that an individual’s WIOA exit date be the date on which the last service funded by the program or partner program is received by the individual. When an individual has not received a documented WIOA or partner-funded service for 90 days, has no gap in service, and is not scheduled to receive future services (except follow-up), the system will “soft exit” the individual based on entries completed. Individuals who are participating in more than one program will have a single common exit date.

In NCWorks Online, when a participant has had a gap in service, the exit date is automatically applied retroactively to the last day on which the individual received a service or activity. An exit will not automatically occur when a participant is assigned a NCWorks Online 'Gap in Service' code. Participants must also be enrolled in the originally scheduled activity at the time the gap in service became necessary in order for NCWorks Online to automatically close the case on the 91st day. Follow-up, case management, and support services do not qualify as NCWorks Online activity codes that extend the exit date.

Action: Staff are to use the attached Service Activity Codes and Definitions and Guidance on Case Notes and Exit Dates. These documents are also available at NCWorks Online in the "Staff Online Resources" section.

Effective Date: Immediately

Expiration: Indefinite

Contact: Field Services Program Staff

Attachment 1: Guidance on Constitution of Case Notes in NCWorks Online

Attachment 2: NCWorks Online Service/ Activity Codes and Definitions

Rescinded

Guidance on Constitution of Case Notes in NCWorks Online

Active enrollment in WIOA, in NCWorks Online, is contingent upon participants being enrolled in service activities. While documenting services in case notes is important, it **does not** keep participants enrolled. Case notes are vital for detailing what is being provided to participants and justifying WIOA enrollment. They are also necessary for source documentation purposes in **Data Validation**. Several **data validation** elements, such as last date of service, last date of training, and employment at participation may be verified with case notes.

The examples below relate specifically to notes entered and used for **data validation** purposes.

Case notes documenting services should answer the following questions in order to meet **Data Validation** standards:

- When was the service delivered or provided?
- What did the Case Manager do for the individual or what partner-funded service did the individual receive?

Case Notes Examples

1. Invalid Case/Activity Note:

6/14/2015 Participant submitted attendance sheet for the week of June 1-7, 2015.

Valid Note:

6/14/2015 Participant submitted attendance sheet for the week of June 1-7, 2015. Case Manager counseled participant on graduation requirements and future career goals. Participant completed LPN classroom training on 6/2/15.

2. Invalid Case/Activity Note:

6/1/2015 Notes are blank. Nothing is notated.

Valid Note:

6/1/2015 Participant completed program goals. Case Manager provided four job referrals.

3. Invalid Case/Activity Note:

6/25/2015 Called participant but did not receive an answer.

Valid Note:

6/25/2015 Called Jane but she did not answer. Jane came in and we reviewed and updated her resume. We also discussed interviewing techniques.

4. Invalid Case/Activity Note:

7/6/2015 Participant finally got a job.

Valid Note:

7/6/2015 Participant was hired at XYZ Company. We discussed his work hours and responsibilities, as well as job retention techniques. I explained the post-program services that are available to him and indicated that he should feel free to call me for additional assistance.

5. Example of how unemployment insurance mainframe information viewed by staff may be recorded in case notes:

8/25/2015 Staff member Jim Jones reviewed the following UI mainframe information for Jane Doe. Jane Doe worked for XYZ company from 7/1/13 – 8/12/15. Jane is eligible for 13 weeks of unemployment in the amount of \$100 per week.

The following items DO NOT constitute a valid WIOA service:

- Leaving messages on telephone answering machines for the participant
- Speaking with a participant's relatives
- Sending flyers, letters, or postcards to the participant
- Speaking with a participant's probation/parole officer only to obtain information regarding the participant's status
- Having a casual conversation with the participant in a retail store
- Having the participant bring in time and/or attendance records for payment
- Sending "contact me" or "contact our offices" messages via email, U.S. Postal Service or telephone
- Regular contact with the participant or employer to only obtain information regarding his or her employment status, educational progress/status need for additional services, or income support payments
- Commentary/opinions on participant's personal circumstances which are unrelated to employment and training activities and pursuits

Note: Failure to document the provision of a valid service on the date of exit will result in failing the exit date element in data validation, and may result in failing the elements for entered employment, employment retention, average wages and youth post-secondary education status.