NYC Department of Youth & Community Development

DYCD CONNECT

PARTICIPANT TRACKING SYSTEM:

Workforce Innovation Opportunity Act Case Management, Benchmarks & Outcomes

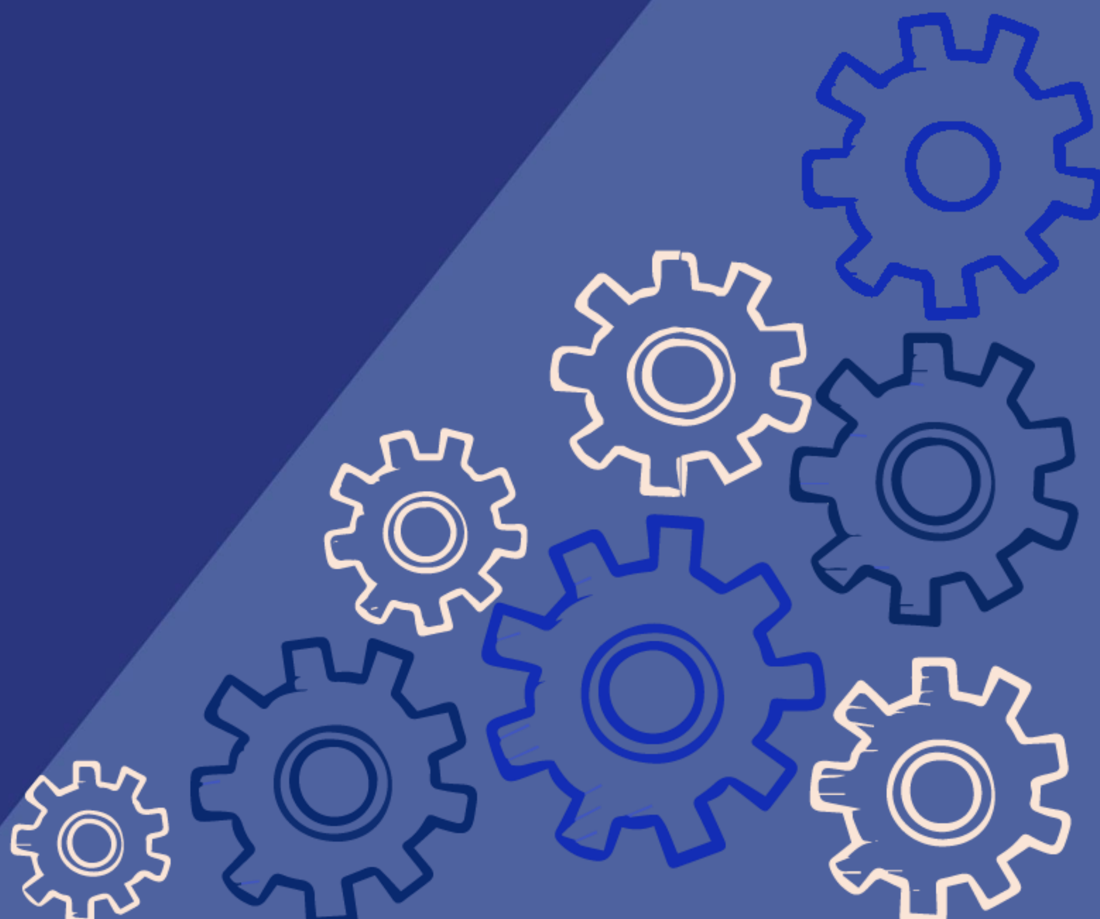


Table of Contents

Key Terms

Interactions:	Also known as Case Notes. Interactions must be documented monthly (at a minimum) for every WIOA Participant that is in “Accepted-Enrolled” or “Exited-Follow-Up” status. The Interactions must provide details of participant service engagement and assessment, service planning, progress, case coordination, Exit planning, and or Case Closure.
Services:	Providers must offer services encompassing the required Program Elements related to WIOA participants’ personal and or career-related goals. For additional information, review the the Workscope Development Guide in the DYCD Connect Document Library.
Credential:	This indicator measures attainment of two types of credentials: either a recognized postsecondary credential, or a secondary school diploma or its recognized equivalent.
Exit:	When a participant has not received any WIOA funded Services for 90 consecutive days and is not scheduled for future service.
Institutionalized / Incarcerated:	An exit exclusion. The participant exits the program because the participant has become incarcerated in a correctional institution or has become a resident of an institution or facility providing 24-hour support such as a hospital or treatment center during the course of receiving services as a participant.
Health & Medical:	An exit exclusion. 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.

Goal Definitions

Placement in the 2nd quarter after exit: The number of Title I Youth program participants who exited during the reporting period who are found to be employed, either through direct UI wage record match, Federal or military employment records, or supplemental wage information, OR found to be enrolled in secondary education, postsecondary education, or occupational skills training (including advanced training) in the second quarter after the exit quarter DIVIDED by the number of title I Youth program participants who exited the program during the reporting period

Placement in the 4th quarter after exit in Employment/Education/Training: The number I Youth program participants who exited during the reporting period who are found to be employed, either through direct UI wage record match, Federal or military employment records, or supplemental wage information, OR found to be enrolled in secondary education, postsecondary education, or occupational skills training (including advanced training) in the fourth quarter after the exit quarter DIVIDED by the number of title I Youth program participants who exited the program during the reporting period.

Attainment of a postsecondary credential or secondary school diploma: Credential Attainment is the percentage of those participants enrolled in an education or training program (excluding those in OJT and customized training) who attained a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within one year after exit from the program.

A participant who has attained a secondary school diploma or its recognized equivalent is included in the percentage of participants who have attained a secondary school diploma or its recognized equivalent only if the participant also is employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program.

Postsecondary Credential: A recognized postsecondary credential is defined as a credential consisting of an industry-recognized certificate or certification, a certificate of completion of an apprenticeship, a license recognized by the State involved or Federal government, or an associate or baccalaureate degree, as well as graduate degrees for purposes of the VR program as required by section 103(a)(5) of the Rehabilitation Act of 1973, as amended by title IV of WIOA.
A recognized postsecondary credential is awarded in recognition of an individual's attainment of measurable technical or industry/occupational skills necessary to obtain employment or advance

within an industry/occupation. These technical or industry/occupational skills generally are based on standards developed or endorsed by employers or industry associations. Neither certificates awarded by workforce development boards (WDBs), nor work readiness certificates, are included in this definition because neither type of certificate documents the measurable technical or industry/occupational skills necessary to gain employment or advance within an occupation.

Likewise, such certificates must recognize technology or industry/occupational skills for the specific industry/occupation rather than general skills related to safety, hygiene, etc., even if such general skills certificates are broadly required to qualify for entry-level employment or advancement in employment.

A variety of different public and private entities issue recognized postsecondary credentials. Below is a list of the types of organizations and institutions that award recognized postsecondary credentials (not all credentials by these entities meet the definition of recognized postsecondary credential).

- A State educational agency or a State agency responsible for administering vocational and technical education within a State;
- An institution of higher education described in Section 102 of the Higher Education Act (20 USC 1002) that is qualified to participate in the student financial assistance programs authorized by title IV of that Act. This includes community colleges, proprietary schools, and all other institutions of higher education that are eligible to participate in Federal student financial aid programs.
- An institution of higher education that is formally controlled, or has been formally sanctioned or chartered, by the governing body of an Indian tribe or tribes.
- A professional, industry, or employer organization (e.g., National Institute for Automotive Service Excellence certification, National Institute for Metalworking Skills, Inc., Machining Level I credential) or product manufacturer or developer (e.g., recognized Microsoft Information Technology certificates, such as Microsoft Certified IT Professional (MCITP), Certified Novell Engineer, a Sun Certified Java Programmer, etc.) using a valid and reliable assessment of an individual's knowledge, skills and abilities;
- ETA Office of Apprenticeship or a State Apprenticeship Agency.
- A public regulatory agency, which awards a credential upon an individual's fulfillment of educational, work experience, or skill requirements that are legally necessary for an individual to use an occupational or professional title or to practice an occupation or profession (e.g., Federal Aviation Administration aviation mechanic license, or a State-licensed asbestos inspector);

- A program that has been approved by the Department of Veterans Affairs to offer education benefits to veterans and other eligible persons.
- Job Corps, which issues certificates for completing career training programs that are based on industry skills standards and certification requirements.

Measurable Skills Gain: The measurable skill gains indicator is used to measure interim progress of participants who are enrolled in education or training services for a specified reporting period. Therefore, it is not an exit-based measure. Instead, it is intended to capture important progressions through pathways that offer different services based on program purposes and participant needs and can help fulfill the vision for a workforce system that serves a diverse set of individuals with a range of services tailored to individual needs and goals.

Depending upon the type of education or training program in which a participant is enrolled, documented progress is defined as one of the following:

- Documented achievement of at least one educational functioning level of a participant who is receiving instruction below the postsecondary education level.
- Documented attainment of a secondary school diploma or its recognized equivalent.
- Secondary or postsecondary transcript or report card for enough credit hours that shows a participant is meeting the State unit's academic standards.
- Satisfactory or better progress report, towards established milestones, such as completion of OJT or completion of one year of an apprenticeship program or similar milestones, from an employer or training provider who is providing training; or
- Successful passage of an exam that is required for an occupation or progress in attaining technical or occupational skills as evidenced by trade-related benchmarks, such as knowledge-based exams.

Purpose of this Guide

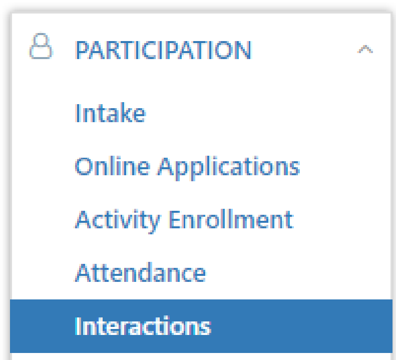
This guide is a resource for WIOA-Funded programs offering Case Management services to implement the WIOA Case Management Standards. Case Management is an individualized tool created to help participants achieve specific desired outcomes leading to personal and career-related goals. WIOA Case Management Standards are directly tied to a participant's Individual Service Strategy, but also require uniform standards of observable and measurable progress.

In this guide, we will explain how WIOA Programs will document case management in the Participant Tracking System (PTS). Case Management can be broken down into four categories:

- Interactions
- Services
- Outcomes
- Referrals

WIOA Providers are expected to continually monitor each participant's case management needs, and revise plans or strategies as necessary throughout the entire participant's programmatic lifespan (i.e. 1-2 years of Direct Service Enrollment, and 1 Year of Follow-up Services). This includes recording ongoing case notes from 1-on-1 interactions with participants, as well as taking attendance and recording it into the Participant Tracking System (PTS).

Interactions



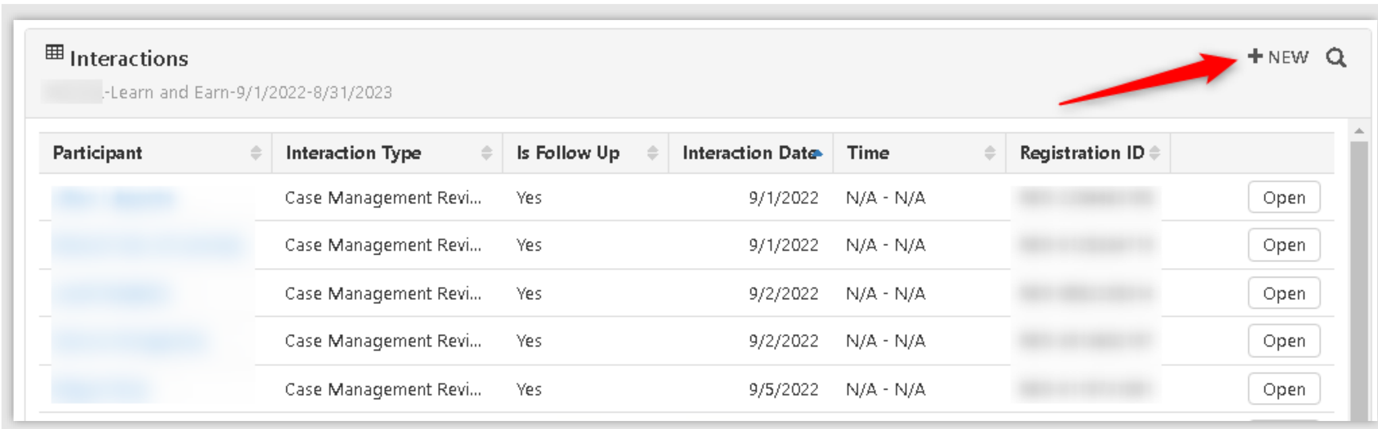
Case management is primarily captured via Interactions in your workscope, providing DYCD with an overview of the progress participants make towards goals identified in their Individual Service Plan. Interactions should also reflect support services and referrals to other organizations.

Providers may enter interactions directly in the workscope, or via a participant's intake using the required case management templates provided by DYCD. Interactions should be entered on an ongoing basis determined by your program's practice:

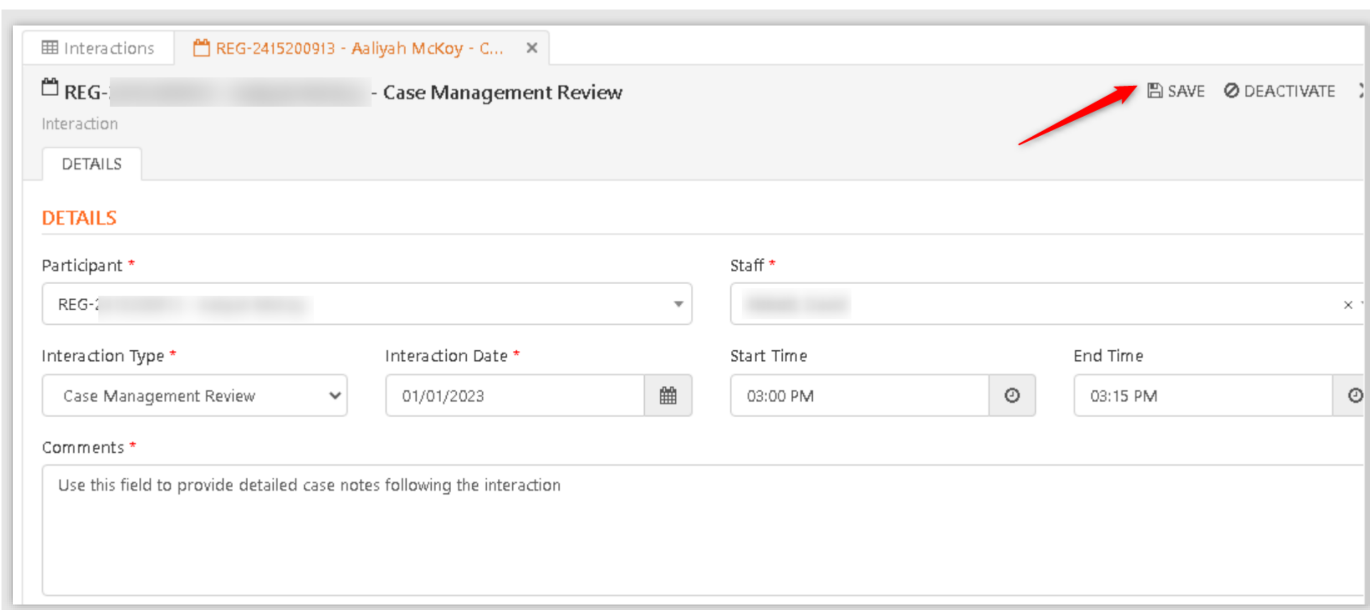
- Train & Earn: A minimum of every two weeks for each open service offered. All Interactions notes are due by the 10th of the following Month.
- Learn & Earn: Monthly by the 10th of the following month

How do you Complete an Interaction on the Workscope?

STEP 1: Navigate through Participation>Interactions and click on "+NEW" at the top-right of the Interactions table.

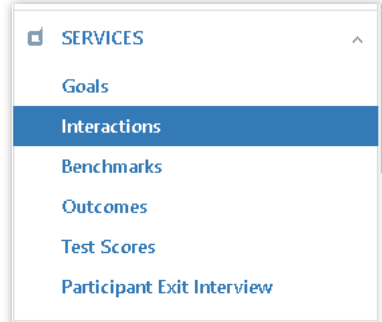


STEP 2: Complete data entry by clicking on each field and selecting from the drop-down options. Select the participant, the type of interaction that occurred, and the staff member who facilitated the interaction. You must also provide the date and time the interaction occurred and use the comments field to enter your case notes. Click on "Save" to record your responses.



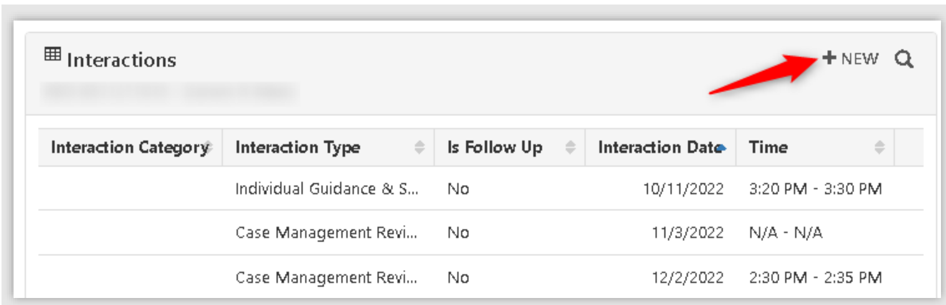
NOTE: If the staff member does not appear in the "Staff" drop-down menu, you must add the staff member as a new provider contact. Additional information is available in the Staffing Change Procedures user guide in the DYCD Connect Document Library.

How do you Complete Interactions in an intake?

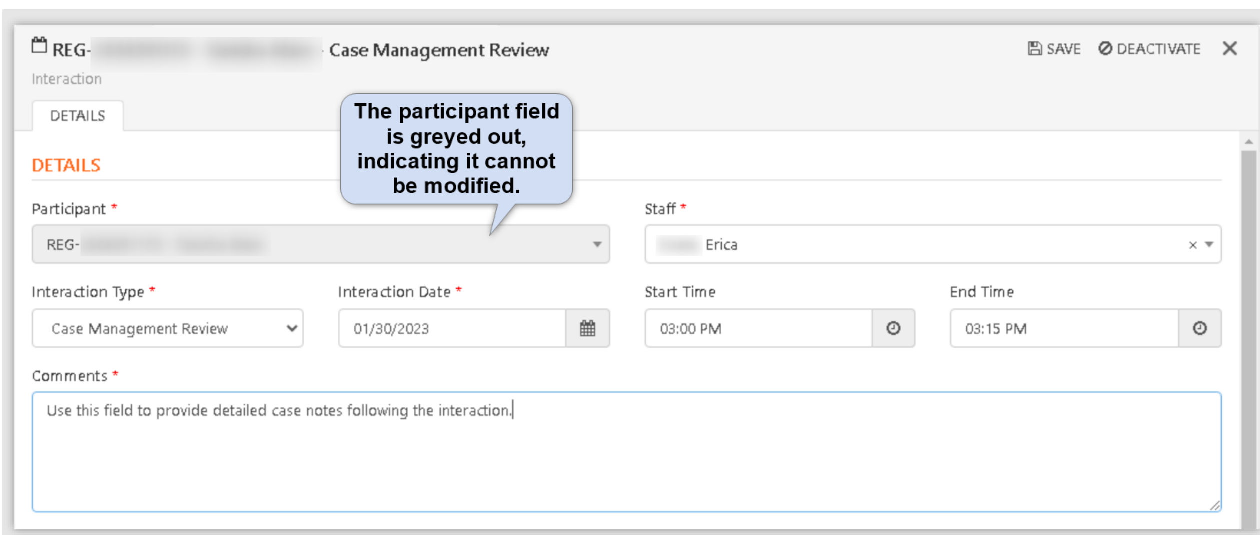


STEP 1: After opening an intake, navigate to Services>Interactions.

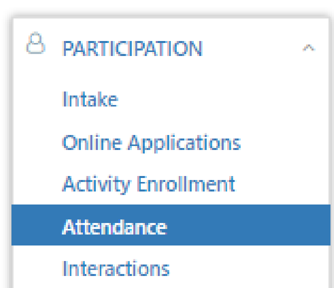
STEP 2: A table displays all interaction records associated with the participant. Click on +NEW to add a new interaction.



STEP 3: Complete data entry by clicking on each field and selecting from the drop-down options or typing in the date, time and comments. Note that the Participant field is locked, as the interaction is tied directly to the participant's intake. Click on "Save" to record your responses.



Attendance

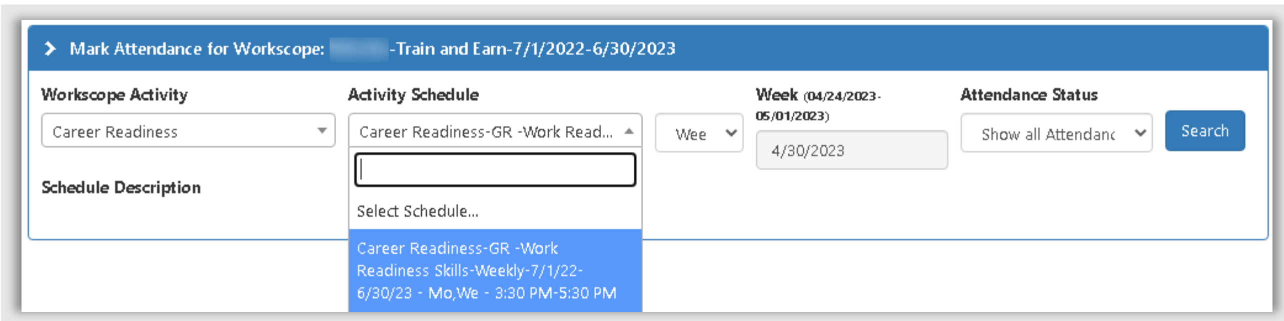


Your program is also responsible for recording attendance on a daily basis for each of your group activities. WIOA providers then have a rolling 14-day window to complete data entry in PTS (e.g. attendance for June 1st must be recorded no later than June 15th). Once the window has closed, attendance will be locked.

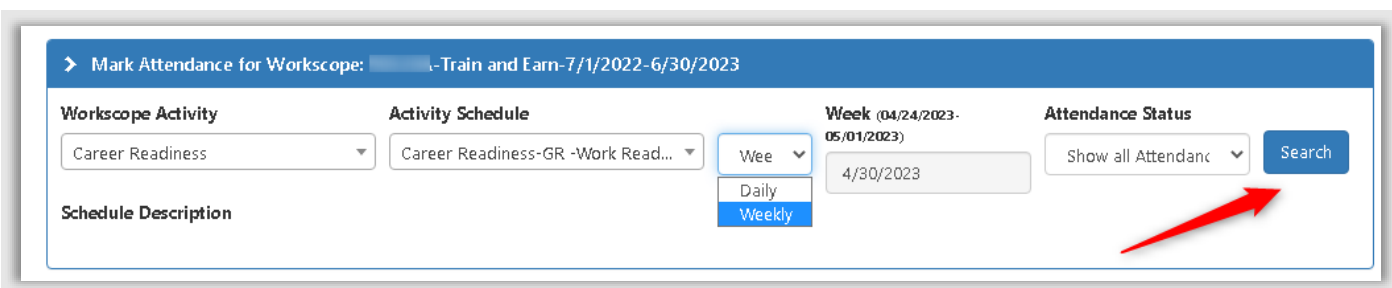
NOTE: If you need to take/modify attendance older than 14 days, you must submit an Attendance Unlock in the Participant Tracking System. Unlock Requests can be submitted in the General Section of the workscope.

How do you Complete Attendance Entry on the workscope?

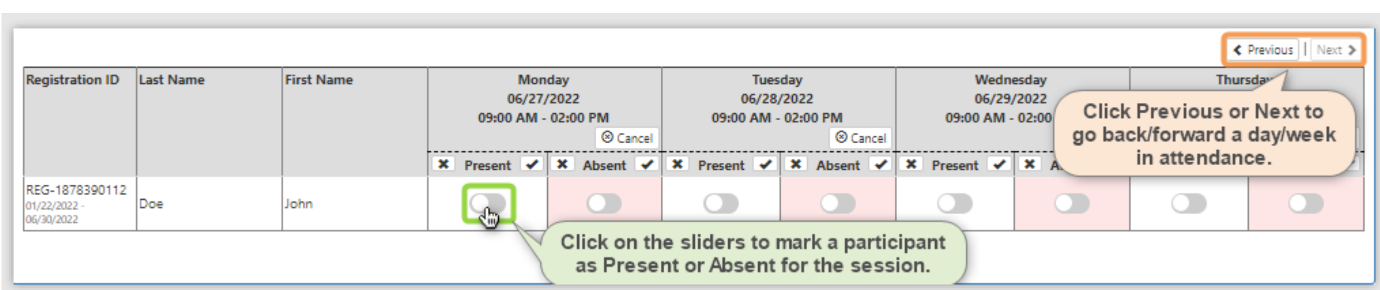
STEP 1: Navigate through Participation>Attendance to view the Attendance section. Then, select a workscope activity and a corresponding activity schedule.



STEP 3: Select 'Daily' or 'Weekly' to choose how many days of attendance you would like to view. Also, select the date for the day or week of attendance that you would like to view. Click on the blue "Search" button to load the attendance roster.



STEP 4: Click on the sliders to mark a participant present or absent for each scheduled session.



Achieving Benchmarks & Outcomes

Throughout their engagement in your program, participants will work towards goals identified in the Individual Service Plan (ISS). This includes participants who have exited the program but are participating in follow-up services. Your program will provide updates when participants achieve these goals, which are tied to required program benchmarks and outcomes for WIOA programs.

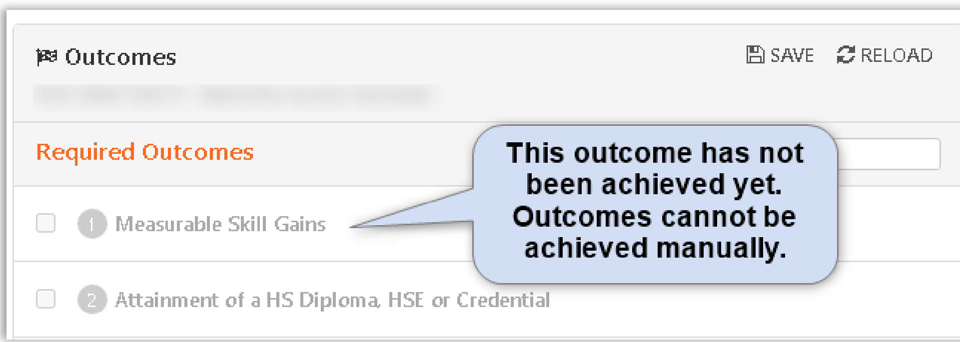
Benchmarks

- Participant is enrolled
- Participant is exited into follow-up services

Outcomes

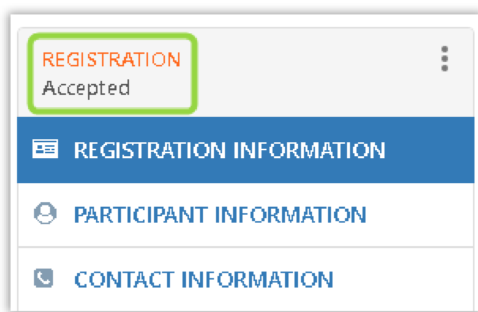
- Measurable Skill Gains
- Attainment of a HS Diploma, HSE or Credential
- Placement in 2nd quarter after exit
- Placement in 4th quarter after exit

Benchmarks & Outcomes are automatically achieved in DYCD Connect once the required conditions are met. In addition, all outcomes require supporting documentation, which must be approved by the Central Validation Unit (CVU).



Achieving Benchmark: Participant Enrolled

This benchmark is automatically achieved once the participant is registered to your program after approval from CVU. The participant will appear in “Accepted-Enrolled” status. Additional information about registering participants is available in the Participant Intake & Registration Guide on the DYCD Connect Document Library.

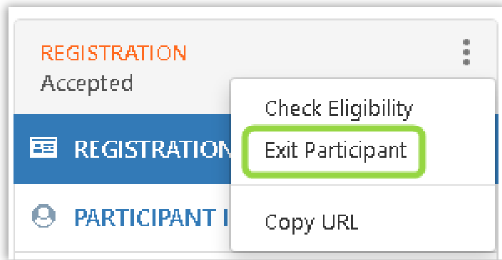


Achieving Benchmark: Participant Exited into Follow-up Status

Participants who have not received any WIOA-funded services for 90 consecutive days, and are not scheduled for future service, should be moved to "Exited-Follow Up" Status. All participants who successfully complete program services and do not qualify for an Exit exclusion, are required to complete an Exit Interview prior to being put into the Follow-up Status. As you complete an exit for a participant, note the following definitions:

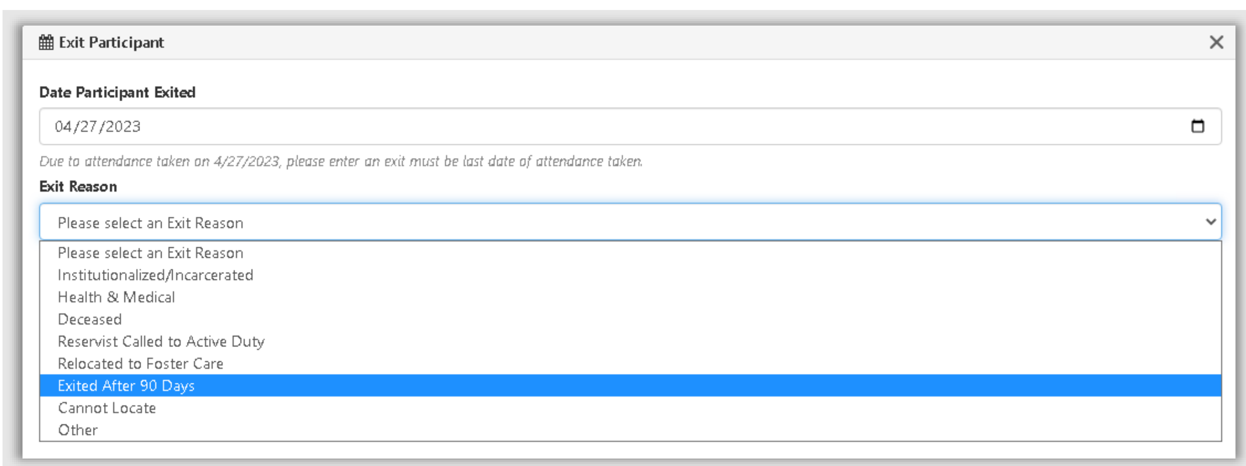
- Exit Date is defined as the last date on which a participant received a WIOA Service.
- Exit Quarter represents the calendar quarter in which the date of Exit is recorded for a participant..

STEP 1: Click on the three-dots icon at the top of the workscope switchboard and click "Exit Participant."

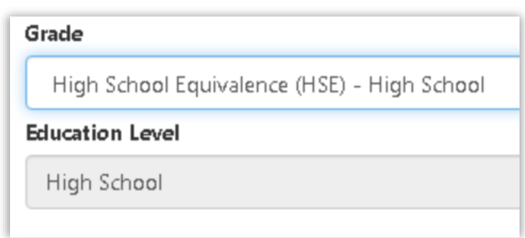


STEP 2: In the Exit Participant overlay, enter an exit date reflecting the last day of WIOA services. Under the Exit Reason drop-down menu, select "Exited After 90 Days."

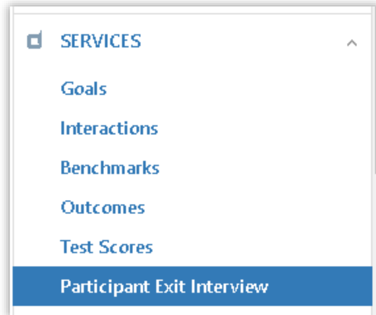
NOTE: If this is a Positive Exit, select "Other."



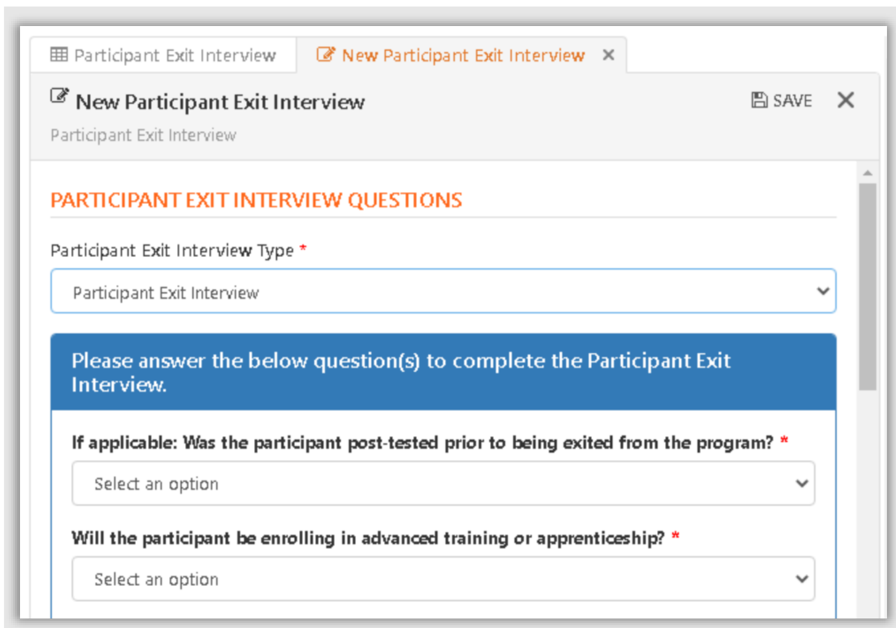
STEP 3: Using the "Grade" drop-down menu, select the highest level of educational attainment. Then click the blue "OK" button at the bottom-right of the overlay.



STEP 4: After completing the above steps the participant's status should update to "Exited-Follow-up." Make sure to navigate to the Services section of the intake and complete the Participant Exit Interview.



The exit interview consists of a number of drop-down fields and open-ended response questions, which includes a plan for the one year of follow up services. Click on "Save" at the top-right of the interview window once all fields are complete.



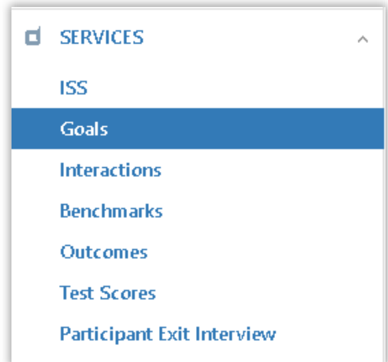
Exit Exclusions

If a participant should be excluded from further services, select one of the other applicable Exit Reasons in the exit participant overlay. Exit Exclusions include:

- Institutionalized/Incarcerated
- Health & Medical
- Deceased

When a participant falls meets one of the above Exit Exclusions; the provider is no longer responsible or accountable for performance or following up on the participant. Documentation supporting an exit exclusion should also be provided to DYCD.

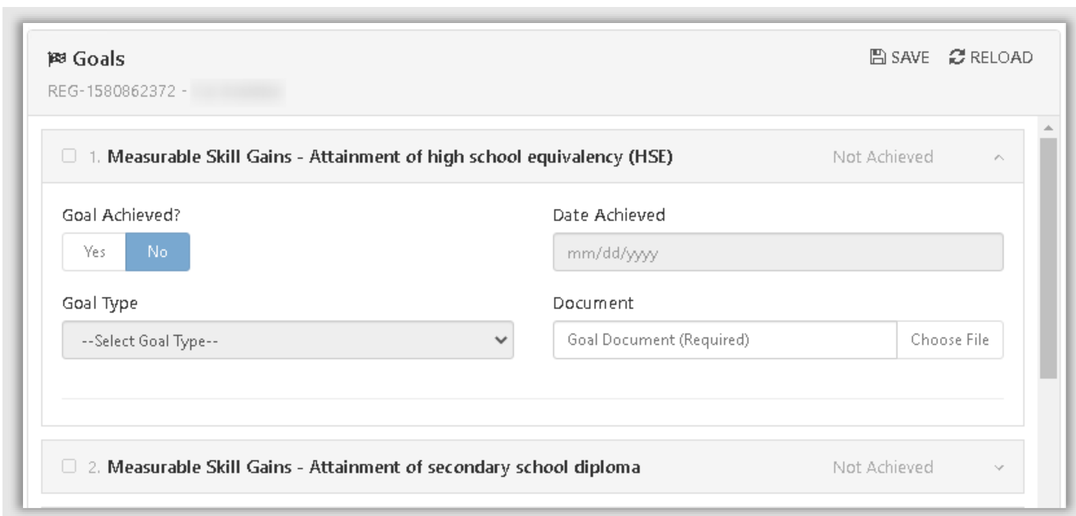
Achieving Outcomes



All outcomes require a corresponding goal to be achieved. In addition, all outcomes require supporting documentation, which must be approved by the Central Validation Unit (CVU).

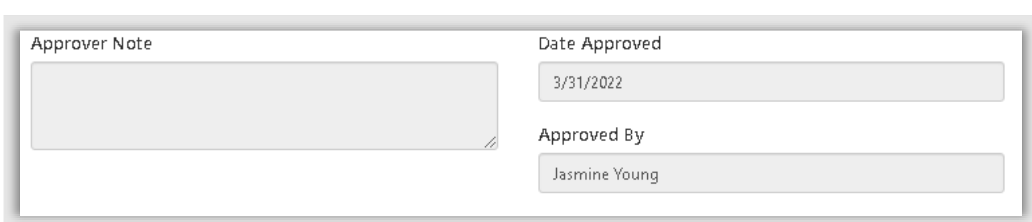
Step 1: Navigate to the Services section of a participant's intake, and select "Goals." A table with applicable goals will appear. Select the goal that corresponds to the outcome the participant has achieved.

Note: The outcome "Measurable Skill Gains" has multiple associated goals. Each goal corresponds to the various methods to validate this outcome, which will vary depending on your program type. Supporting documentation is also required.

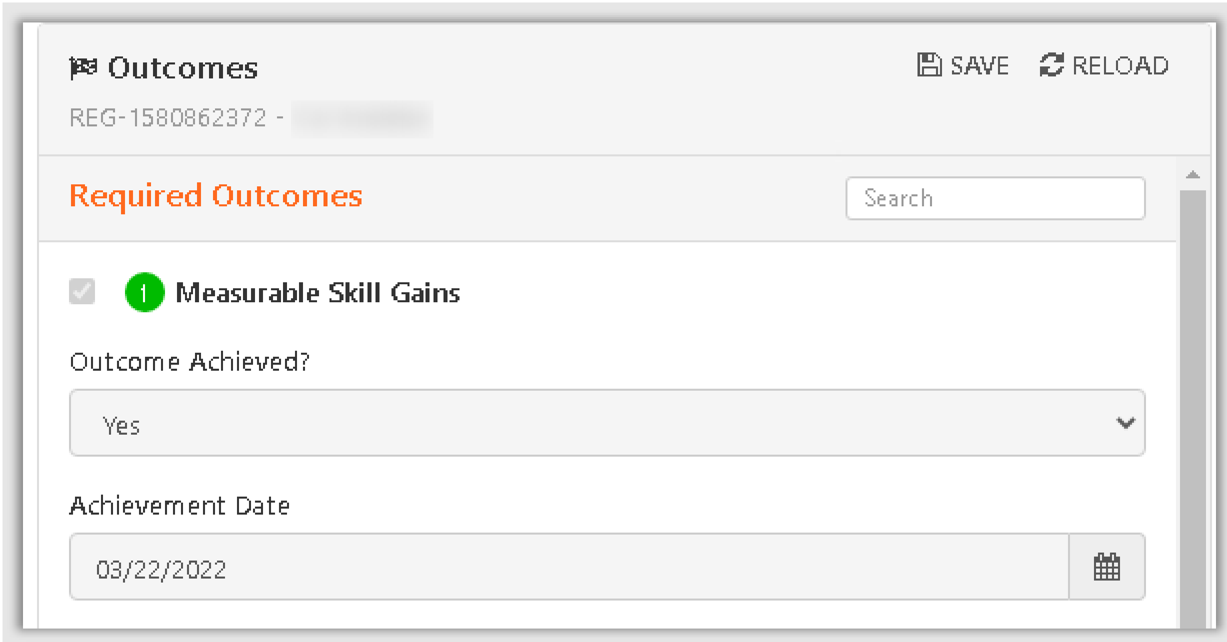


Step 2: Click on 'Yes' under "Goal Achieved?" and enter an achievement date. Then, click "Choose File" to upload a supporting document from your computer.

Your program must wait until the document has been reviewed by CVU. If your CVU Approver rejects the document and/or has questions, the comments will be visible in the "Approver Note" field. Otherwise, the goal will update with an approval date.



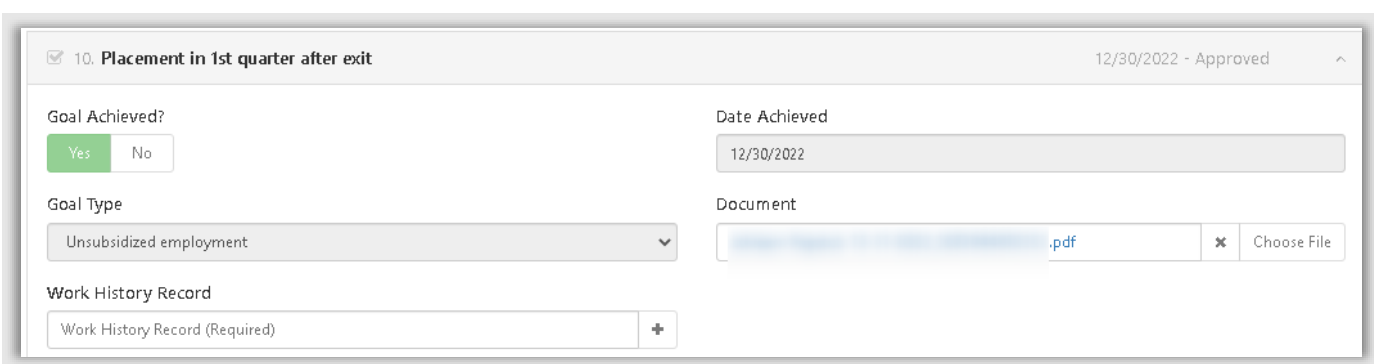
Step 3: After CVU has approved the document, check to make sure the outcome has updated with an achievement date under Services>Outcomes.



Placement in 1st-4th Quarter after exit

You may only update goals in this category once the participant is in [Exited-Follow-up Status](). Each goal should be updated to reflect the quarters in which the participant secures placement in post-secondary education, employment, etc. Additional information is available in the [Participant Life Cycle & Follow-up User Guide]().

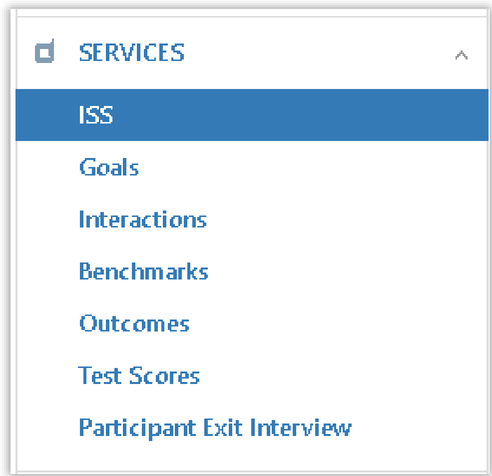
- Placements connected to employment should also include a Work History Record, as in the example below.



Participant Rollover

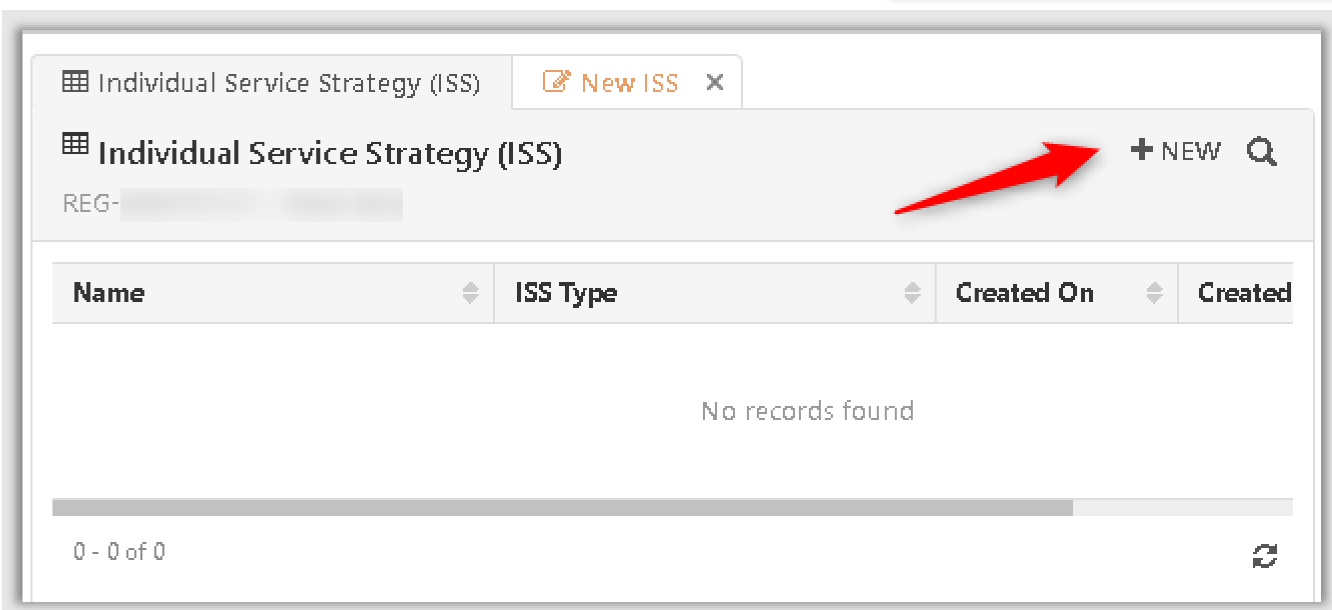
Participants' time in your program may span across multiple contract years. In these cases, active participants will automatically be rolled over into the following year's workscope in PTS. However, to prevent gaps in your case management, your program must complete all data entry (i.e. attendance, interactions, and goal tracking) for services rendered before each program year closes out. Additional information is available in the Rollover Process & Procedures User Guide in the DYCD Connect Document Library.

Individual Service Strategy (Learn & Earn)

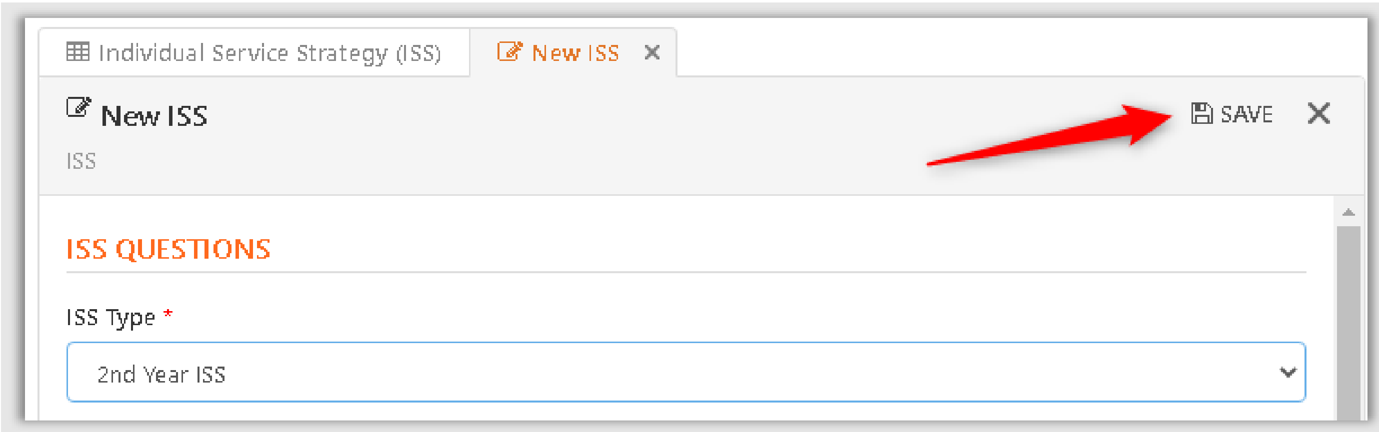


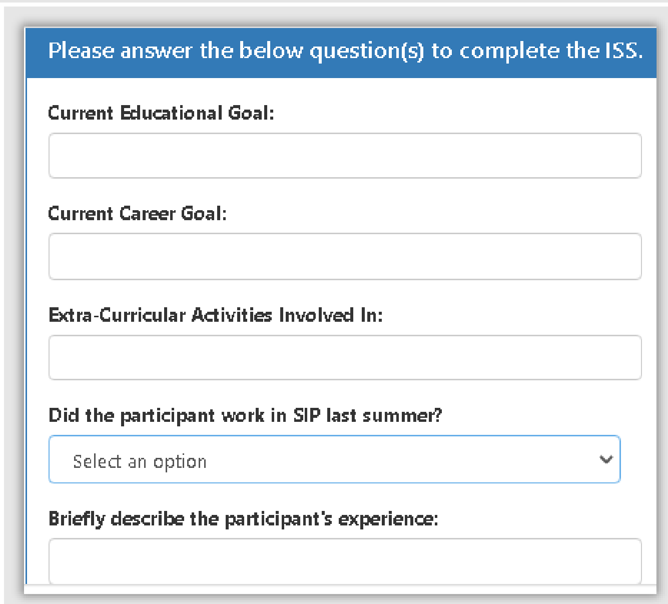
When a Learn & Earn participant is rolled over to a new workscope, a new page of the intake will be available in the Services section of the intake titled "ISS." This page allows you to fill out the required 2nd Year ISS (Individual Service Strategy), identifying new and/or ongoing educational & career goals.

STEP 1: Click on "+NEW" at the top-right of the ISS table.



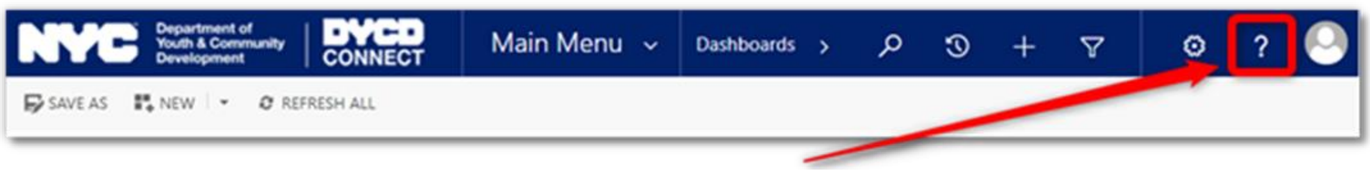
STEP 2: Select “2nd Year ISS” using the drop-down menu. Answer all applicable questions using the text fields + drop-down menus. Make sure to click on “Save” at the top right of the table to record the ISS responses.





DYCD Connect Help Center

If you have questions or concerns, please submit a help request to the DYCD Connect Help Center. You may reach the Help Center direct from the banner at the top of DYCD Connect by clicking on the question mark, as shown below.



Alternatively, you may submit a request through the [Help Center] on the DYCD Connect homepage.