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Effective Case Management Training:  
Recording Case Management in GEO

# Adult & Dislocated Worker Crosswalk

1.0 PARTICIPANT ELIGIBILITY		
Documentation of low income determination for Adult	WIOA SEC. 134 (c)(3)(A), WIOA SEC. 3(36), State Policies and Procedures Sec. 3.2.5 (II), 20 CFR § 680.600(b)	"Household and Income" section of GWROPP application
Documentation relating to receipt of Supplemental Security Income, Social Security Disability Insurance, Food Stamps	WIOA SEC. 134 (c)(3)(A), WIOA SEC. 3(36), State Policies and Procedures Sec. 3.2.5 (II), 20 CFR § 680.600(b)	"Public Assistance" section of GWROPP application
Disability and/or medical information		May be indicated on GWROPP application, but supporting documentation must still be maintained in a secure physical location to ensure only the appropriate staff members can access that information
Documentation of lay-off, termination, plant closure, or other eligible Dislocated Worker criteria	WIOA SEC. 3(15), WIOA SEC. 3(16), State Policies and Procedures Sec. 3.2.5 (I)(C), 20 CFR § 680.130	"Employment" section of GWROPP application. If Veteran/DW, upload to "Veteran" section of GWROPP application
Documentation that participant was 18 years of age or older	WIOA SEC. 3(2), State Policies and Procedures Sec. 3.2.5 (I)(A)(1), 20 CFR § 680.120	"Demographic" section of GWROPP application
Documentation of U.S. citizenship or authorization to work in the U.S.	WIOA SEC. 186 (a)(5), State Policies and Procedures Sec. 3.2.5 (I)(A)(2), State Policies and Procedures Sec. 3.2.1 (I)-(III)	"Demographic" section of GWROPP application
Documentation of Selective Service Registration or an allowable exemption	WIOA SEC. 186 (h), State Policies and Procedures Sec. 3.2.5 (I)(A)(3), State Policies, 20 CFR § 683.225	"Demographic" section of GWROPP application
2.0 VETERAN'S PRIORITY OF SERVICE		
Documentation to verify veteran status	WIOA SEC. 3 (63)(A), State Policies and Procedures Sec. 3.2.5 (II), TEGL 14-08, 20 CFR § 680.650	"Veteran" section of GWROPP application
Documentation to verify eligible spouse of a veteran status	WIOA SEC. 3 (63)(A), State Policies and Procedures Sec. 3.2.5 (II), TEGL 14-08	"Veteran" section of GWROPP application



- First few slides are listed as ADW, but some parts apply to Youth as well. Address specific differences for Youth later
- Developed crosswalks for roll-out of fully electronic case files & they mirror our monitoring tools. Presentation is less of a "how" to log inform & more about what type of info we are looking for
- Eligibility & Veteran sections should be most simple. GWROPP application has "verify/upload/link" options to add in supporting documentation.
  - Important note: Disability and medical information may be indicated on the application (i.e., "disability" box checked), but all supporting documentation must be maintained in a secure physical location to ensure only the appropriate staff members can access that information.
  - Selective Service Registration. If a participant is not registered for Selective Service, they MUST provide some kind of documentation for you to determine whether it fits under an allowable exception or not. Should have a local process for determining this, but OWD is always happy to help advise if necessary. For example, some areas have simply used an affidavit where the participant just checks the box under one of the allowable exemptions, but then no documentation is provided. This WILL result in a disallowable cost.
- Please ask questions or point out concerns. This document is meant to be a resource and we are open to changing it to ensure it aligns with LWDA needs/practices and OWD requirements.

# Adult & Dislocated Worker Crosswalk

3.0 PROVISION OF SERVICES		
Career Services		
Documentation of a determination of need for training services as identified in the IEP, comprehensive assessment, or Individual Counseling and Career Plan	WIOA SEC. 134 (c)(2)(A), WIOA SEC. 134 (c)(3)(A)(i), State Policies and Procedures Sec. 3.4 (I)(A)-(B), 20 CFR § 680.170, 20 CFR § 680.150	Staff Profiles > Case Mgmt Profile > Plan > Objective Assessment Summary or IEP/ISS. If <i>not</i> utilizing the GWROPP-generated IEP/ISS or OA, General Documents section: Staff Profiles > General Profile > Documents (Staff)
Documentation of a Basic Career Service such as assessment of skill levels or orientation	WIOA SEC. 134 (c)(2)(A), State Policies and Procedures Sec. 3.4 (I)(A)-(B), 20 CFR § 680.150, 20 CFR § 678.430	General Documents section: Staff Profiles > General Profile > Documents (Staff)



- As we move further through case files, the location for documents can be less intuitive, which is why we have provided the crosswalk.
- IEPs: 2 options
  1. If using IEP in GWROPP, can simply create document and update there
  2. OR upload IEP to “General Documents”

\*Remember: IEP should be a living document, continually update as case progresses or add notes about activities.
- Assessments/Orientation: Can log these as activities/enrollments in their file, but if there is any supporting documentation, upload to “General Documents”
  - For ex: Sometimes case mgrs log TABE scores in a case note, but monitors would need to see verification of that information, so you would upload that document to “Gen Docs”

# Adult & Dislocated Worker Crosswalk

4.0 EMPLOYMENT SERVICES/TRAINING		
<b>Work Experience</b>		
WEX Training Contract/Agreement, WEX Training Plan, and/or other documentation stipulated in State/Local policies and procedures, to include: names and contact information for all parties, names and titles of all employer staff that are authorized to sign the timecard for the Work Experience participant, start and end date, responsibilities of the participant, worksite employer, and LWDA, job title, pay, duties, and goals for participant, other information relevant to the specific WEX activity, verification that participant was paid the wage stated in the agreement	State Policies and Procedures Sec. 3.4.1.5 (I)	General Documents section: Staff Profiles > General Profile > Documents (Staff)
<b>Individual Training Account</b>		
Documentation of a determination of need for training services as identified in the ISS, comprehensive assessment, or Individual Counseling and Career Plan	WIOA SEC. 134 (c)(3)(A), State Policies and Procedures Sec. 3.4.1.1	Individual Employment Plan/Service Strategy
Verification of cost of training from provider to support amount listed in GWROPP		General Documents section: Staff Profiles > General Profile > Documents (Staff)
<b>Incumbent Worker Training</b>		
IWT Agreement/Contract, IWT Training Plan, and/or other documentation stipulated in State/Local policies and procedures, to include: hourly wage of participant, length of training, description of occupation, skills, and competencies to be learned, assessment and identification of the individual's skills gap	State Policies and Procedures Sec. 3.4.1.4 (I), 20 CFR § 680.780	General Documents section: Staff Profiles > General Profile > Documents (Staff)
<b>On-The-Job Training</b>		
OJT Agreement/Contract, OJT Training Plan, and/or other documentation to verify requirements as stipulated in the State/Local policies and procedures, to include: hourly wage of the participant, duration of training, start date, description of occupation(s) involved, skills and competencies to be learned, assessment, and identification of the participant's skills gap, performance outcome requirements, training plan that defines successful completion of training	WIOA SEC. 3 (44), State Policies and Procedures Sec. 3.4.1.2 (II), 20 CFR § 680.700(a), 20 CFR § 680.710	General Documents section: Staff Profiles > General Profile > Documents (Staff)
<b>Customized Training</b>		
CT Agreement/Contract, CT Training Plan, and/or other documentation as stipulated in the policies and procedures, to include: length of training, description of occupation, skills, and competencies to be learned, and definition of successful outcomes	WIOA SEC. 3 (14), State Policies and Procedures Sec. 3.4.1.3	General Documents section: Staff Profiles > General Profile > Documents (Staff)
<b>Registered Apprenticeship</b>		
Any documentation for Registered Apprenticeship that is not already included in ITA/OJT/IWT documentation	State Policies and Procedures Sec. 3.4.1.6, 20 CFR § 680.750, 20 CFR § 680.330(a)	General Documents section: Staff Profiles > General Profile > Documents (Staff)



- All of these documents should be included in a participant's case file in "Gen Docs"
- In the past, many LWDA's keep the main contract for OJTs or WEXs in a separate location, which had been acceptable if the LWDA doesn't necessarily have a "comprehensive" contract (i.e., training plan is a separate document or wage and hour information is listed somewhere else).
- However, now all the information required in contracts by the P&P must be included in a participant's file. So whatever an LWDA calls the agreement, or if it is multiple docs, it all must be uploaded to "Gen Docs" in a participant's file.
- The main issue we see is with Work Experience agreements. We will be putting together a contract template and offering more technical assistance on this in the future (maybe the November Academy). Business Services has developed guidance and templates for OJT and IWT, and we will do something similar for WEX.

# Adult & Dislocated Worker Crosswalk

5.0 Supportive Services		
Verification of financial amount of supportive services entered in GWROPP	WIOA SEC. 134 (d)(2), WIOA SEC. 134 (d)(3), State Policies and Procedures Sec. 3.4.4 (III)(B)(i)(4), State Policies and Procedures Sec. 3.4.4 (III)(B)(ii)	General Documents section: Staff Profiles > General Profile > Documents (Staff). If the information is kept in a separate system, LWDA staff are not required to duplicate efforts, but auditors will request verification during monitoring.
Documentation of determination of need of supportive services	WIOA SEC. 134 (d)(2), WIOA SEC. 134 (d)(3), State Policies and Procedures Sec. 3.4.4 (III)(A)(iv), 20 CFR § 680.910	Individual Employment Plan/Service Strategy, Case Notes, or Supportive Service Request Form (if required by local policy). Request Forms should be uploaded to General Documents section
6.0 CREDENTIAL ATTAINMENT		
Documentation to support credential attainment	State Policies and Procedures Sec. 3.4.3, TEGL 17-05	Staff Profiles > Case Mgmt Profile > Programs > Credentials
7.0 EXIT and FOLLOW-UP		
Participant Exit	State Policies and Procedures Sec. 3.4.6, 20 CFR § 677.150(c)(1), 20 CFR § 677.150(c)(1)(i)	Staff Profiles > Case Mgmt Profile > Programs > Exit/Outcome (Any supporting documentation may be uploaded to the General Documents section or notated in a case note)
Verification of employment (if exited with employment, include employer information, job information, wage, etc.)	Federal Data Validation Requirements	Staff Profiles > Case Mgmt Profile > Programs > Case Closure (Supplemental employment information should be uploaded to the General Documents section)
Required follow-ups attempts and verified employment information	State Policies and Procedures Sec. 3.4.6 (III), TEGL 17-05, 20 CFR § 680.150(c)	Staff Profiles > Case Mgmt Profile > Programs > Follow-ups (Any supporting documentation may be uploaded to the General Documents section or notated in a case note)
8.0 GRIEVANCE		
Grievance Forms	WIOA SEC. 181 (c), State Policies and Procedures Sec. 1.3, 20 CFR § 683.600(a)	General Documents section: Staff Profiles > General Profile > Documents (Staff)



- As discussed on an LWDA call recently, this is the ONLY exception for not uploading to GWROPP (apart from disability info).
  - Verification of financial information: If maintained in your financial system, monitors will just request verification of amounts entered into GWROPP upon case file review. For example, If an LWDA has a separate system where they log what bus passes the org has purchased and have some system for signing those out when participants need them, then you don't need to log that into GWROPP (we don't want to duplicate efforts or overcomplicate things). Monitors need to verify where the amount in the SS voucher comes from. OR if case file has an amount listed as "obligated" but not "funded," we'll ask for verification of how much was spent for that specific SS need
- Determination of need: This can be listed in the IEP, Case Notes, or a formal Supportive Services Request Form
  - IMPORTANT:** If your local policy requires that you utilize a request form, monitors will be checking for that and will hold accountable to local policy. OWD does not require a formal request form and simply requires that the need be identified somewhere in the case file (can be a conversation logged as a case note that Mr. Smith needs assistance with transportation).
- Exit/Follow-up: There are specific locations in GEO for where these activities are logged.
- Follow-up attempts: recent policy change, we will discuss this in a couple slides
- Grievance forms: Original, signed & dated form must be uploaded to general documents. If any info on form changes, participant must be informed & that can simply be logged as a case note (must be able to provide supporting documentation when monitors request it...i.e., the mass email that went out) OR you can upload that mass email to general documents as well

# Youth Crosswalk

1.0 PARTICIPANT ELIGIBILITY		
Documentation of School Status (In-School-Youth or Out-of-School Youth)	WIOA Sec. 129 (a)(1), State Policies and Procedures Sec. 3.2.6 (I)-(II), TEGL 08-15, 20 CFR § 681.210, 20 CFR § 681.220	"Education" section of GWROPP application
Documentation of age	WIOA Sec. 129 (a)(1), State Policies and Procedures Sec. 3.2.6 (I)-(II), TEGL 08-15	"Demographic" section of GWROPP application
Documentation of U.S. citizenship or authorization to work in the U.S.	WIOA SEC. 188 (a)(5), State Policies and Procedures Sec. 3.2.1 (I)-(III)	"Demographic" section of GWROPP application
Documentation of Selective Service Registration	WIOA SEC. 189 (h), State Policies and Procedures Sec. 3.2.4, 20 CFR § 683.225	"Demographic" section of GWROPP application
Documentation of eligibility determination based on receipt of free or reduced price lunch, Supplemental Security Income, Social Security Disability Insurance, Food Stamps, disabled, homeless/runaway, foster child, or total income that does not exceed higher of the poverty line or 70% of the LLSIL	WIOA SEC. 3 (36), State Policies and Procedures Sec. 3.2.6 (III), TEGL 08-15, 20 CFR § 681.270	SSI, SSDI, SNAP: "Public Assistance" section of GWROPP application, LLSIL information: "Household and Income" section of GWROPP application, Homeless/runaway, foster child: "Barriers" section of GWROPP application; Free or reduced lunch: General Documents section-Staff Profiles > General Profile > Documents (Staff); <b>Disability and medical information must still be maintained in a secure physical location to ensure only the appropriate staff members can access that information</b>
Documentation of the total family income calculation to support the low-income determination (if applicable)	WIOA SEC. 3 (36), State Policies and Procedures Sec. 3.2.3 (II), 20 CFR § 681.250	"Household and Income" section of GWROPP application
Documentation in the case file to support program eligibility under the 5% exception criteria (if applicable)	WIOA SEC. 129 (a)(3)(B), WIOA SEC. 129 (a)(3)(A)(ii), State Policies and Procedures Sec. 3.2.6 (IV), TEGL 08-15, 20 CFR § 681.250 (c)	General Documents section: Staff Profiles > General Profile > Documents (Staff)
Documentation to support the federal or local barrier(s) entered in the GWROPP	State Policies and Procedures Sec. 3.2.6 (I)(B), State Policies and Procedures Sec. 3.2.6 (I)(B)	"Barriers" section of GWROPP application
2.0 VETERAN'S PRIORITY OF SERVICE		
Documentation to verify veteran status	WIOA SEC. 3 (63)(A), State Policies and Procedures Sec. 3.2.5 (I), 20 CFR § 690.650	"Veteran" section of GWROPP application
Documentation to verify eligible spouse of veteran status	WIOA SEC. 3 (63)(A), State Policies and Procedures Sec. 3.2.5 (II)	"Veteran" section of GWROPP application



- Only going into the portions of the Youth crosswalk that are different from the ADW crosswalk.
- Again, all items under Eligibility have the option to "verify/upload/link" in the GEO application. Differences in Youth eligibility:
  - School status
  - Income calculation or 5% exception (should be uploaded to general documents)
  - Barriers (if a disability, remember the requirement to maintain docs in secure physical location)
- Something to remember about Selective Service registration. If not 18 upon eligibility determination, we must still include verification of registration or allowable exemption within 30 days after they turn 18. Saw a few issues with this during monitoring this year.

# Youth Crosswalk

6.0 EMPLOYMENT SERVICES/TRAINING		
Individual Training Account		
Documentation of a determination of need for training service as identified in the ISS, comprehensive assessment, or Individual Counseling and Career Plan	WIOA SEC. 134 (c)(3)(A), State Policies and Procedures Sec. 3.4.1.1	Individual Employment Plan/Service Strategy
Verification of cost of training to support amount listed in GWROPP	WIOA SEC. 134 (c)(3)(G)(iii), WIOA SEC. 122 (d)(3), WIOA SEC. 107 (g)(1)(B)(i)(iii), State Policies and Procedures Sec. 3.4.1.1	General Documents section: Staff Profiles > General Profile > Documents (Staff)
Paid or Unpaid Work Experience		
WEX Training Contract/Agreement, WEX Training Plan, and/or other documentation stipulated in State/Local policies and procedures, to include: names and contact information for all parties, names and titles of all employer staff that are authorized to sign the timecard for the Work Experience participant, start and end date, responsibilities of the participant, worksite employer, and LWDA, job title, pay, duties, and goals for participant; other information relevant to the specific WEX activity, verification that participant was paid the wage stated in the agreement	WIOA SEC. 129 (c)(2)(C), State Policies and Procedures Sec. 3.4.1.6, State Policies and Procedures 3.4.2.1.3, 20 CFR § 681.600	General Documents section: Staff Profiles > General Profile > Documents (Staff)
Pre-Apprenticeship activity agreement, PA Training Plan, PA wage verification (if paid PA)	WIOA SEC. 129 (c)(2)(C), 20 CFR § 681.600, TEGL 23-14	General Documents section: Staff Profiles > General Profile > Documents (Staff)
Internship agreement, Internship Training Plan, Internship wage verification (if paid)	WIOA SEC. 129 (c)(2)(C), TEGL 23-14, 20 CFR § 681.480 (a)(3)(ii)	General Documents section: Staff Profiles > General Profile > Documents (Staff)
Job shadowing agreement, Job shadowing Training Plan,	WIOA SEC. 129 (c)(2)(C), 20 CFR § 681.600, TEGL 23-14	General Documents section: Staff Profiles > General Profile > Documents (Staff)
OJT Agreement/Contract, OJT Training Plan, and/or other documentation to verify requirements as stipulated in the State/Local policies and procedures, to include: hourly wage of the participant, duration of training, start date, description of occupation(s) involved, skills and competencies to be learn, assessment, and identification of the participant's skills gap, performance outcome requirements, training plan that defines successful completion of training	WIOA SEC. 3(44), State Policies and Procedures Sec. 3.4.1.2, TEGL 23-14, 20 CFR § 680.700(a), 20 CFR § 680.710	General Documents section: Staff Profiles > General Profile > Documents (Staff)



- Only difference here is additional services like Pre-Apprenticeship, Internships, etc. Those documents are uploaded to “General Documents” just like other contracts and training plans.

# Youth Crosswalk

7.0 SUPPORTIVE SERVICES		
Verification of financial amount of supportive services entered in GWROPP	WIOA SEC. 134 (d)(2), WIOA SEC. 134 (d)(3), State Policies and Procedures Sec. 3.4.4 (II)(B)(i)(4), State Policies and Procedures Sec. 3.4.4 (II)(B)(iii)	General Documents section: Staff Profiles > General Profile > Documents (Staff). If the information is kept in a separate system, LWDA staff are not required to duplicate efforts, but auditors will request verification during monitoring.
Documentation of determination of need of supportive services	WIOA SEC. 134 (d)(2), WIOA SEC. 134 (d)(3), State Policies and Procedures Sec. 3.4.4 (II)(A)(iv)	Individual Employment Plan/Service Strategy, Case Notes, or Supportive Service Request Form (if required by local policy). Request Forms should be uploaded to General Documents section.
Documentation of incentive received in accordance in achievement and/or milestones outlined in participant's ISS	State Policies and Procedures Sec. 3.3.2 (i)	General Documents section: Staff Profiles > General Profile > Documents (Staff)



- Youth incentives
  - Remember, these must be connected to achievement and/or milestone outlined in a participant's ISS. CANNOT be given for attendance (avoid even using the word "attendance" when writing case notes about incentives). Always be sure to link it to the achievement/milestone.
  - Supporting documentation should be uploaded to "Gen Docs" and additional information can be logged in case notes.



## Common Issues in Programmatic Monitoring

- Lack of grievance form
- Missing Contracts
- Missing supporting documentation
- Mischaracterizing youth incentives
- Lack of follow-ups
- Unclear/incorrect case notes



- Grievance forms: Lack of notification for updated EO information
  - Even if information was correct at the time of enrollment, participants must be informed if information changes. See slide 5 for requirement
- Missing Contracts: All applicable information for an individual participant must be logged in their case file. See P&P for list of required information
- Missing supporting documentation: Be sure to log supporting documentation as soon as possible after it is received. Often, docs get misplaced and are never added to file. This can result in a disallowed cost.
  - Biggest issues with supporting docs for eligibility requirements and determination of need for Supportive Services.,
- Mischaracterizing youth incentives: Again, cannot be given for attendance. While an LWDA may not be actually giving incentive for attendance, case notes may inadvertently allude to that. USDOL or other state agency (Dept of Audits & Accounts) staff might not dig deeper to see what it was given for.
  - For example, avoid a case note like this: “Participant attended 4 GED sessions and earned incentive.”
  - Write as “Participant received \$X incentive for completion of GED requirements”
- Lack of follow-ups: result of unclear policy, will address that on the next slide
- Unclear case notes: More information is better, but be careful of privacy issues (and only include facts and observations, not opinions, about participant).

# Follow-up Policy

- *State Policies & Procedures Guide Update*
  - Section 3.4.6



- Previously, P&P did not explicitly require follow-ups be logged in GWROPP for ADWs. Updated language to include that. Approved by SWDB on 5/16/19
- Just to clarify, since this question came up during the committee call from an LWDA...from a programmatic perspective, all OWD is asking for is that the follow-up attempt/contact be logged. However, from a data perspective, LWDA's should still be collecting documentation to verify any performance outcomes identified during follow-up.



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