

# Fresno Regional Workforce Development Board

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Blake Konczal, Executive Director

## OPERATIONAL DIRECTIVE

**FRWIB OD #: 03-21**

**Date Released: May 17, 2021**

**To: All Fresno Regional Workforce Investment Board Providers of Services**

**From: Blake Konczal, Executive Director**

**Effective Date: May 17, 2021**

**Subject: Case File Transition Process**

**Applicable Program: WIOA Adult and Dislocated Worker Programs**

**Revision History: Initial Release**

This Operational Directive (OD) contains required pre-planning coordination and requirements for the transition of WIOA Adult, and Dislocated Worker participants. These requirements apply to FRWDB Provider of Services that will no longer provide WIOA services after June 30, 2021, and Providers of Services who will assume contracts on July 1, 2021.

For the purpose of this OD, the "Referring POS" is the outgoing provider of service and the "Receiving POS" is the provider of service that will be assuming the contract on July 1, 2021.

Referring and Receiving POS must provide the FRWDB Senior Deputy Director with the name and contact information for a designated staff person that will be responsible for coordinating the participant file transfers for their agency.

Effective immediately, all referring POS' must complete case file review of all WIOA active participants and follow-up participants to ensure that all files are complete and up to date. The referring POS must run their current Active Caseload Report on CalJOBS.

Referring POS must review caseload and determine projected carryover. All initial participant closures must be identified by May 13, 2021. **All required closures identified during the transition process must be completed by June 11, 2021.**

Referring POS must review all fundable activities for each participant and process any outstanding payments no later than June 25, 2021.

Referring POS staff must review their current active case load and complete the Active Participants Transfer form (form# QUA-203) listing all participants that will be transitioned to the receiving POS and identify any supportive services, OJTs, TJ, ITAs, and has an assigned COVID Laptops for each participant on the form. The referring POS must also complete the Follow-up Participants Transfer form (form# QUA-204) for any participants that are currently in follow-up.

The receiving POS will be responsible for completing all follow-up activity for retention participants after July 1, 2021.

The referring POS will retain the sole responsibility of repayment for any disallowed costs associated with a participant for any activity(ies) that occurred prior to June 30, 2021 that are identified after July 1, 2021.

### **Case File Transition Process**

All files being transferred must be separated by active versus retention and by grant code.

- **For files transferring to a new location**, the referring POS must box up all files and attach a list to the outside of each box that includes the name and application number of all participant files in the box. A copy of the list is to be placed on top of the files inside the box.
- **For files remaining at the same location**, the referring POS must ensure that all file cabinets that contain participant files to be transferred are identified. A list must be attached to the outside of each file cabinet that includes the name and application number of all participant files contained in the file cabinet.
- The referring POS must submit the Active Participants Transfer form and the Follow up Participants Transfer form to FRWDB staff no later than May 25, 2021.
- FRWDB staff will review the Active Participants Transfer form and the Follow up Participants Transfer form with the referring POS prior to approving transfer. If needed, FRWDB Staff will meet with referring POS to discuss any concerns and the concerns will be addressed and resolved with the referring POS prior to the transfer of the files.
- Once the Active Participants Transfer form and the Follow up Participants Transfer form is approved, the referring POS will contact the receiving POS and make arrangements for file transfer to take place.
- The receiving POS will review the case files and complete the Active Participants Transfer form to acknowledge agreement that the case files are complete, and eligibility has been documented.
- The referring POS staff will make a case note in CalJOBS and U.S. mail or email letters for each of the participant files indicating the transfer of the participant to the receiving POS.
- The referring ERS will meet with the receiving ERS between June 21 through June 24 to review and discuss individual case files.
- The receiving POS will check the file received box next to each name on the Active Participants Transfer form and the Follow up Participants Transfer form verifying receipt of each file.
- The referring POS will sign and date the bottom of the Active Participants Transfer form and the Follow up Participants Transfer form acknowledging the release of the files and the receiving POS will sign and date the bottom of the Participant Transfer form verifying that they have received all the files listed on the Active Participants Transfer form and the Follow up Participants Transfer form.
- Upon receipt of the case files, the receiving POS staff will make a case note in CalJOBS for each of the participant files indicating receipt of the case file.
- **All file transfers of active and follow-up participants must be completed by June 25, 2021.**

**Timeline**

<b>Dates</b>	<b>Transitions Process</b>	<b>Responsible Party</b>
May 12, 2021	FRWDB meets with Referring POS	Senior Deputy Director & Referring POS
May 12, 2021- May 13, 2021	FRWDB meets with Receiving POS	Senior Deputy Director & Receiving POS
May 13, 2021	Identify and submit designated Contact Information to FRWDB	Referring POS
May 13, 2021- May 24, 2021	Review caseload and determine projected carryovers	Referring POS
May 13, 2021- June 11, 2021	Processing participant closures	Referring POS
May 13, 2021- June 25, 2021	Review fundable activities and process any outstanding payments	Referring POS
May 13, 2021- May 24, 2021	Review participant files and complete Participant Active Transfer form and Participant Follow-up Transfer form	Referring POS
May 25, 2021	Submit Participant Active Transfer form and Participant Follow-up Transfer form to FRWDB	Referring POS
May 28, 2021	FRWDB reviews and approves Participant Active Transfer Form and Participant Follow-up Transfer form	FRWDB Staff
TBD	FRWDB meets with referring POS to discuss any issues and address any concern	TBD
June 1, 2021- June 4, 2021	Meets to review Case Files	Referring POS & Receiving POS
June 7, 2021- June 18, 2021	Prepare files for transfer	Referring POS
June 18, 2021- June 24, 2021	Insert case notes indicating referral of case file and mail out or email letter to participants	Referring POS
June 21, 2021- June 24, 2021	Referring POS ERS meets with Receiving POS ERS to review participant files	Referring POS & Receiving POS
June 25, 2021	Sign off on Participant Active Transfer Form and Participant Follow-up Transfer form to verify transfer of all participant files	Referring POS & Receiving POS
July 1, 2021- July 31, 2021	Insert Case Notes indicating receipt of case file	Receiving POS

If any questions, please contact the FRWDB Program Adult Manager or Senior Deputy Director.

## **Forms**

- Form QUA-203, Active Participant Transfer form
- Form QUA-204, Follow-up Participant Transfer form
- Form QUA-205, Participant Transfer Letter