INDIANA
WORKFORCE
DEVELOPMENT
AND ITS WorkOne CENTERS

TO: Indiana's Workforce Investment System

FROM: Jaclyn P. Dowd
Deputy Commissioner of Policy, Education, and Training

DATE: January 29, 2013

SUBJECT: DWD Policy 2012-07
Eligibility and Data Validation Policy for Indiana's Workforce Investment System

Purpose
This policy formally communicates eligibility requirements and data validation requirements for the Wagner-Peyser, Workforce Investment Act (WIA) Adult, WIA Dislocated Worker, WIA Youth, Trade Adjustment Assistance (TAA), National Emergency Grants (NEG), and Veterans' Employment and Training Services (VETS) programs offered through Indiana's WorkOne system. The policy should be used as a tool for WorkOne staff to understand specific eligibility, documentation, and data validation requirements associated with each in order to ensure adherence to requirements established by associated federal and state law, regulations, and policy.

Rescissions
- DWD Policy 2007-25 dated April 4, 2008 and entitled, "Eligible Determination and Data Validation Requirements for Integrated Adult Programs Provided by the WorkOne System"
- DWD Policy 2007-26 dated April 4, 2008 and entitled, "Eligibility Determination and Data Validation Requirements for Youth Programs Provided by the WorkOne System'

Content
The Indiana Department of Workforce Development (DWD) continues to require workforce investment boards and regional workforce boards to provide integrated service delivery, which allows WorkOne staff funded by different funding streams to serve customers in the most effective and efficient manner possible. As required by DWD Policy 2010-13, WorkOne Customer Flow, all WorkOne customers shall be co-enrolled into all funding streams for which they are eligible and for which they receive services. This includes co-enrollment (when eligibility permits and customer needs are established) in the following funding streams: Wagner-Peyser Act Employment Service, WIA Adult, WIA Dislocated Worker, WIA Youth, TAA, NEG, and VETS.

All services provided to customers must be connected to a funding stream(s) that may be used to fund the service being provided, and that WorkOne staff are required to obtain and record the proper documentation required within this policy as part of the participant's records. When multiple funding streams are used to provide services, each service must be recorded with its associated funding stream.

This policy is also intended to show the interrelationship between eligibility determination, participant reporting, data validation and performance throughout the provision of services to WorkOne customers.

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This interrelationship is as follows:

WorkOne customers are determined as being eligible, provided with meaningful services, and ultimately placed into a high wage/high demand occupation.

- ↳ *These actions are performed by WorkOne staff and are accurately recorded in the State's participant reporting system, TrackOne;*
- ↳ *The data entered into TrackOne are attached to a funding stream(s) and is checked for accuracy and timeliness by staff performing data validation;*
- ↳ *The data entered into TrackOne is converted into outcomes by the reporting system, based upon the content of the data; and*
- ↳ *Federal and state staff compare the actual outcomes against planned outcomes and a determination is made whether performance was met or not.*

The attachments to this policy contain the specific eligibility and data validation requirements that that shall be followed when delivering services through the WorkOne system. The attachments have been separated in order to separate this comprehensive guidance into easy-to-use sections.

The attachments to this policy are as follows:

- ***Attachment A – Eligibility to Work in the United States:*** Provides DWD's requirements pertaining to eligibility to work in the United States as an condition of eligibility for certain workforce development services.
- ***Attachment B – Moving through the Tiers of Service***: Provides the criteria that must be met in order for a customer to move from one tier of service (Core, Intensive, and Training) to the next.
- ***Attachment C – Eligibility Requirements in Indiana's Integrated Workforce Investment System***: Provides comprehensive guidance on eligibility requirements for the Workforce Investment Act Title IB Adult, Youth and Dislocated Worker programs; Wagner-Peyser Act Employment Service, Trade Adjustment Assistance, National Emergency Grants, and Veterans' Employment and Training Services programs. This attachment also includes a list of includable and excludable forms of income for determining eligibility.
- ***Attachment D - Data Validation Requirements***: Provides the specific data validation requirements for Workforce Investment Act Title IB Adult, Youth and Dislocated Worker programs; Trade Adjustment Assistance, and National Emergency Grants. This attachment provides the data element, the funding source(s) for which the data element is applicable, and the definition for the data element.
- ***Attachment E- Guidelines – Registration, Customer Reporting, Data Validation, and Performance***: This is a reference guide for case managers explaining how registration, participant reporting, data validation and performance all flow together.

Effective Date
Immediately

End Date
Upon rescission

Ownership

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Action

Local administrators shall follow the guidance provided in this policy and its attachments for eligibility and data validation for Wagner-Peyser, WIA Adult, WIA Dislocated Worker, WIA Youth, Trade Adjustment Assistance, National Emergency Grants, and Veterans' Employment and Training Services programs and services provided to participants through the WorkOne system.

Attachment A
Eligibility to Work in the United States

According to the United States Department of Labor, United States' citizenship and/or eligibility to work are not program eligibility requirements for Wagner-Peyser or Workforce Investment Act (WIA) Title IB programs, and additionally, citizenship information does not need to be validated.

However, an eligibility-to-work determination may need to be validated (Note: citizenship and eligibility to work are **not** interchangeable) in order for an individual to receive certain workforce development services. ***Indiana has determined that an individual's eligibility-to-work in the United States should be validated prior to the receipt of supportive services and/or training service for adults and dislocated workers and prior to the receipt of work experience or occupational skills training for youth.***

Guidance on validating an eligibility-to-work determination:

Core and Intensive Services:
If an adult or dislocated worker (including Trade Act client) receives any type of service other than training or supportive services, self-declaration is an acceptable source of documentation, and no further validation is required. The customer "self-declares" when he/she enters data into the labor exchange system or when staff enters data into TrackOne.

Supportive Services and Training Services:
If the adult or dislocated worker (including Trade Act client) receives any type of supportive service and/or training service (i.e., occupational skills training), staff must validate the individual's eligibility-to-work in the United States.

The following are acceptable sources of documentation with a copy to be maintained or scanned into TrackOne:

- Birth certificate;
- Alien Registration Card;
- US Passport;
- Same documents as accepted by US Immigration & Naturalization Service to complete the I-9 Form;
- Public assistance records;
- DD-214 (if place of birth is shown);
- Food Stamp records;
- Foreign passport stamped "Eligible to Work";
- Hospital record of birth;
- Native American tribal document;
- Naturalization Certification;
- Baptismal Record with place of birth; and
- Department of Correction's records which indicates citizenship.

Youth Services:
If a youth receives a work experience or occupational skill training Youth service, staff must validate the individual's eligibility-to-work in the United States.

The following are acceptable sources of documentation with a copy to be maintained or scanned into TrackOne:

- Birth certificate;
- Alien Registration Card;
- US Passport;
- Same documents as accepted by US Immigration & Naturalization Service to complete the I-9 Form;
- Public assistance records;
- DD-214 (if place of birth is shown);
- Food Stamp records;
- Foreign passport stamped “Eligible to Work”;
- Hospital record of birth;
- Native American tribal document;
- Naturalization Certification;
- Baptismal Record with place of birth; and
- Department of Correction’s record which indicates citizenship.

Attachment B
Moving Through the Tiers of Service

Indiana's WorkOne system is the basic delivery system for workforce development services. Through this system, **adults and dislocated workers** can receive a continuum of services. **(Youth also receive a continuum of services but not through the methodology discussed in this document).** The services are organized into a linear progression of tiers: core, staff-assisted core, intensive and training. The criterion that must be met in order for the customer to move from one tier to the next is provided:

Core Services – Self Service and Informational Activities (Customer is provided readily-available information)
• Available to any individual.
• Self-declaration is acceptable source documentation for eligibility.
• Ten (10) demographic data elements are collected on customers receiving self-service or informational services: • Last name • First name • Date of birth • SSN • Ethnicity • Race • Gender • Disability • Employment status • Veteran status
• A customer must receive at least one Core service before receiving Intensive services.
• A determination of the need for Intensive services must be contained in the customer's case file.

Staff-Assisted Core Services (Customer has been provided significant staff-assisted core services that involved an assessment of skills, education or career objectives)
• WorkOne staff assesses customer (i.e. provides significant staff involvement) with receipt of Staff-Assisted Core Services
• Full application is recorded into TrackOne
• Upon exit, customer included in relevant performance accountability system.

Intensive Services **(Customer has been provided intensive services, including but not limited to, short-term pre-vocational, work experience and literacy activities related to basic workforce readiness)**
• Unemployed Adults and Dislocated Workers: • Received at least one Core service; • Are unable to obtain employment through Core services, as indicated through case notes; and • Are determined by the One-Stop operator or regional operator to be in need of Intensive services to obtain or retain employment. **Need for services are indicated in case notes.**
• Employed Adults and Dislocated Workers: • Received at least one Core service; and • Are determined on a One-Stop operator or regional operator to be in need of Intensive services to obtain or retain employment that leads to self-sufficiency. **Need for services are indicated in case notes.**
• Trade Adjustment Assistance participants: • Received at least one of the core TAA Orientation services; • Are determinate to be in need of Intensive services to obtain suitable employment[1]; **Need for services are indicated in case notes;** and • Are within 60 days of receiving the first TAA Intensive service, participant must jointly develop an Individual Employment Plan (IEP) with the case manager.
• Self-sufficiency is defined by the local workforce investment board or regional workforce board.
• A customer must receive at least one Intensive service before receiving Training services.
• A determination of the need for Training services must be contained in the customer's case file**.**

Training Services **(Customer has been provided training services, including but not limited to, occupational skills training and on-the-job training)**
• Employed or Unemployed Adults and Dislocated Workers: • Received at least one Intensive service; • Have been determined to be unable to obtain or retain employment through such services, as indicated through case notes; • Have been determined by the One-Stop operator, regional operator or One-Stop partner to be in need of Training services and to have the skills and qualifications to successfully complete the selected training program; **Need for services are indicated in case notes.** • Select a program of training services that is directly linked to the employment opportunities either in the local area or in another area to which the customer is willing to relocate, as indicated through case notes; • Are unable to obtain grant assistance from other sources to pay the costs of such training, as indicated through case notes; and • For customers whose services are provided through the adult funding stream, are determined eligible in accordance with the state and local priority system, if any, in effect for Adults, as indicated through case notes.
• Trade Adjustment Assistance: • Have been determined to be unable to obtain suitable employment[2], as indicated through case notes; • Have been determined to be in need of Training services and are able to undertake and complete training, as indicated through case notes; • Have determined by the case manager that the six criteria for training have been met, as indicated through case notes; • Have an Individual Employment Plan (IEP) developed, as indicated through case notes; and • Have a Training plan approved by the State DWD Team.
• While not an eligibility requirement, the customer must meet DWD's drug screening test policy in order to enroll into the training program. This excludes the TAA participant.

[1] Suitable employment is defined as work of a substantially equal or higher skill level than the worker's past adversely affected employment, and wages for such work at not less than 80% of the worker's average weekly wage.

[2] Ibid.

Attachment C
Eligibility Requirements in Indiana's Integrated Workforce Investment System

The purpose of this document is to provide eligibility requirements and source documentation for programs that fund the services provided in Indiana's integrated workforce system. This document also provides a listing of includable and excludable income when determining "low income" status for WIA programs.

Section 1 of this document provides the eligibility requirements and source documentation requirements for Wagner-Peyser Act Employment Services, Workforce Investment Act Title IB Adult, Youth and Dislocated Worker, National Emergency Grants, Trade Adjustment Assistance, and Veterans' Employment and Training Services programs are provided in Attachment A.

Section 2 provides a listing of includable and excludable income when determining "low income" status for certain WIA programs.

The guidance provided in this document provides direction on eligibility and data validation based on federal legislation and guidance from the United States Department of Labor. The guidance does <u>not</u> provide operational direction for customer reporting into TrackOne. That direction will be provided in future communication documents issued by DWD.

Section 1
Eligibility Requirements in an Integrated System

Wagner-Peyser Act Employment Services

Eligibility Item	Eligibility Definition	Source Documentation
N/A	All customers are determined eligible.	No source documentation is needed when Self-Help, Facilitated Self-Help and Staff Assisted Services (Wagner-Peyser terms), only are accessed or provided.

WIA Title IB Adult

Eligibility Item	Eligibility Definition	Source Documentation
Age	18 years of age or older	No source documentation is needed for Self-Service/Informational Core services. If Staff-Assisted Core, Intensive and/or Training Services are provided, follow applicable Data Element Validation source documentation requirements in Section 1 of Attachment D. A hard copy or scanned-in copy of the documentation is required.
Military Selective Service	All males born after December 31, 1959 must be registered with the US Military Selective Service. Section 189(h) of WIA requires customers to be in compliance with Section 3 of the Military Selective Service Act (50 USC Appr.452) in order to participate in WIA Title IB funded programs. Staff must follow operational guidance issued by DWD on verifying that a male customer born after December 31, 1959 is registered with the US Military Selective Service. This includes local management coordinating and publishing a policy for non-registered males, age 26+ and born after December 31, 1959.	The following source documents verify the registration: • Acknowledgement letter from the Selective Service • Form DD-214 • Screen printout of the Selective Service Verification site: www.sss.gov/RegVer/wfVerification.aspx. (Staff enters last name, SSN and date of birth at the website. Printout includes Selective Service number and date of birth as confirmation for data validation) • Selective Service Registration Card • Selective Service Verification Form (form 3A) • Stamped Post Office Receipt of Registration A hard copy or scanned-in copy of the documentation is required.

WIA Title IB Dislocated Worker

Eligibility Item	Eligibility Definition	Source Documentation
WIA Adult	Must meet the eligibility criteria for WIA Adult	Follow all source documentation requirements for WIA Adult eligibility.
Category 1 Laid Off; Unlikely to Return to Previous Occupation	Must meet **all three** criteria listed below: 1. The customer has been terminated or laid off, or who has received a notice of termination or layoff, from employment; 2. The customer is eligible for or has exhausted entitlement to unemployment compensation; or has been employed for a duration sufficient to demonstrate attachment to the workforce but is not eligible for unemployment compensation due to insufficient earnings or having performed services for an employer that were not covered under a state unemployment compensation law; and 3. The customer is "unlikely to return to a previous industry or occupation" as defined through local policy and the determination by the local workforce board.	Follow applicable Data Element Validation source documentation requirements in Section 1 of Attachment D. Exception to DWD Policy: A REA/WPRS letter issued by DWD will serve as sufficient documentation for this eligibility category. A hard copy or scanned-in copy of the documentation is required.
Category 2 Plant Closure	Must meet **any one of three** criteria listed below: 1. Terminated or laid off, or has received a notice of termination or layoff, from employment as a result of any permanent closure of, or any substantial layoff at, a plant, facility, or enterprise; or 2. Employed at a facility where the employer has made a general announcement that such facility will close within 180 days; or 3. For purposes of eligibility to receive services other than training services described in WIA Section 134(d)(4), intensive services described in WIA Section 134(d)(3), or supportive services, a customer who is employed at a facility at which the employer has made a general announcement that such facility will close.	Follow applicable Data Element Validation source documentation requirements in Section 1 of Attachment D. A hard copy or scanned-in copy of the documentation is required.
Category 3 Self-Employed	Must meet the criteria listed below: Self-employed (including employment as a farmer, a rancher, or a fisherman) but is unemployed as a result of general	Follow applicable Data Element Validation source documentation requirements in Section 1 of Attachment D.

Eligibility Item	Eligibility Definition	Source Documentation
	economic conditions in the community in which the customer resides or because of natural disasters.	A hard copy or scanned-in copy of the documentation is required.
Category 4 Displaced Homemaker	Must meet the criteria listed below: The customer has been providing unpaid services to family members in the home and has been dependent on the income of another family member but is no longer supported by that income; and • Is unemployed or underemployed and • Is experiencing difficulty upgrading or obtaining employment. Note: The definition of displaced homemaker includes only those customers who were dependent on a family member's income. Those customers who have been dependent on public assistance may be served in the WIA Adult program.	Follow applicable Data Element Validation source documentation requirements in Section 1 of Attachment D. A hard copy or scanned-in copy of the documentation is required.
Category 5 Military Service Member (non-retired) & Military Spouse	Must meet **all three** criteria for Category 1 Dislocated Worker. Military Service Member • Note: Being discharged under honorable circumstances equates to being laid off. Military Spouse • Note: Spouse who can no longer work because of spouse's discharge from the military equates to being terminated. Military Spouse may also qualify as a Displaced Homemaker if he/she meets the definitional requirements. A surviving Military Spouse may qualify as a dislocated worker or displaced homemaker if he/she meets the definitional requirements.	Follow applicable Data Element Validation source documentation requirements in Section 1 of Attachment D. A hard copy or scanned-in copy of the documentation is required.

National Emergency Grants (NEG)

Eligibility Item	Eligibility Definition	Source Documentation - Eligibility
N/A	Determined by the grantee and approved by US DOL.	Follow applicable Data Element Validation source documentation requirements in Section 1 of Attachment D. A hard copy or scanned-in copy of the documentation is required.

Trade Adjustment Assistance (TAA)

Eligibility Item	Eligibility Definition	Source Documentation - Eligibility
Trade Adjustment Assistance (TAA)	Certification provided by US DOL to a group of workers who lost their jobs due to foreign competition. Adversely affected worker could be eligible as WIA Dislocated Worker and WIA Adult.	Follow applicable Data Element Validation source documentation requirements in Section 2 of Attachment D. A hard copy or scanned-in copy of the documentation is required.

Veterans' Employment and Training Services (VETS)

Eligibility Criteria	Eligibility Definition	Source Documentation - Eligibility

Veterans' Employment and Training Services (VETS)	Eligibility for the VETS program:
	• Veteran; or
	• Other Eligible Individual; or
	• Transitioning Service Member
	
	Veteran:
	Is a person who:
	• Served on active duty for a period of more than 180 days and was discharged or released there from with other than a dishonorable discharge; or
	• Discharged or released from active duty because of a service-connected disability, injury or illness (does not have to meet the 180 day rule); or
	• Served as a member of a reserve component under an order to active duty, served on active duty for any length of time during a period of war or in a campaign or expedition for which a campaign badge is authorized and was discharged or released from such duty with an other than dishonorable discharge.
	
	Other Eligible Individual
	The spouse of:
	• Any person who died of a service-connected disability;
	• Any member of the Armed Forces serving on active duty who, at the time of application, is listed by the Secretary concerned in one or more of the categories and has been so listed for a total of more than 90 days:
	  • Missing in action;
	  • Captured in line of duty by a hostile force; or
	  • Forcibly detained or interned in
		No source documentation is needed when Self-Help, Facilitated Self-Help and Staff Assisted Services (Wagner-Peyser terms), only are accessed or provided.

	line of duty by a foreign government or power; or • Any person who has a total disability permanent in nature resulting from a service-connected disability or who died while a disability so evaluated was in existence. Transitioning Service Member A customer who is a service member in active duty status (including separation leave) who participates in employment services and is within 24 months of retirement or 12 months of separation.	

WIA Title IB Youth

Eligibility Item	Eligibility Definition	Source Documentation - Eligibility
Age	Must be "not less than age 14" and "not more than age 21" at the time of first youth service	Youth who receive any WIA Youth program service follow applicable Data Element Validation source documentation requirements in Section 1 of Attachment D. A hard copy or scanned-in copy of the documentation is required.
Low-income	Must meet one or more of the following categories: An customer who: (A)Receives, or is a member of a family that receives, cash payments under a federal, state or local income-based public assistance program; (B)Received an income, or is a member of a family that received a total family income, for the 6-month period prior to application for the program involved (exclusive of unemployment compensation, child support payments, payments described in subparagraph (A), and old-age and survivors insurance benefits received under Section 202 of the Social Security Act (42 USC 402) that, in relation to family size, does not exceed the higher of – • The poverty line, for an equivalent period; or • 70 percent of the lower living standard income level, for an equivalent period; (C)Is a member of a household that receives (or has been determined within the 6-month period prior to application for the program involved	Youth who receive any WIA Youth program service follow applicable Data Element Validation source documentation requirements in Section 1 of Attachment D. See **Section 2** in this document for a listing of Includable and Excludable Income. A hard copy or scanned-in copy of the documentation is required.

Eligibility Item	Eligibility Definition	Source Documentation - Eligibility
	to be eligible to receive) food stamps pursuant to the Food Stamp Act of 1977 (7 USC 2011 *et seq*.); (D)Qualifies as a homeless individual, as defined in subsections (a) and (c) of Section 103 of the Stewart B McKinney Homeless Assistance Act (42 USC 11302); (E)Is a foster child on behalf of whom state or local government payments are made; or (F)In cases permitted by regulations promulgated by the Secretary of Labor, is an individual with a disability whose own income meets the requirements of a program described in subparagraph (A) or of subparagraph (B), but who is a member of a family whose income does not meet such requirement.	
5 percent Window	Not more than five (5) percent of youth may be individuals who do not meet the minimum income criteria to be considered eligible youth, if such individuals are within one or more of the following categories: 1. Individuals who are school dropouts; 2. Individuals who are basic skills deficient; 3. Individuals with educational attainment that is one of more grade levels below the grade level appropriate to the age of the individual; 4. Individuals who are pregnant or parenting; 5. Individuals with disabilities, including learning disabilities; 6. Individuals who are homeless or runaway youth; 7. Individuals who are offenders; and/or 8. Other eligible youth who face serious barriers to employment as identified by the local board.	Youth who receive an y WIA Youth program service follow applicable Data Element Validation source documentation requirements in Section 1 of Attachment D. A hard copy or scanned-in copy of the documentation is required.
Barriers to Employment	Is within one or more of the following categories: • Deficient in basic literacy skills; • School dropout; • Homeless, runaway, or foster child; • Pregnant or parenting; • Offender; or • Is an individual (including a youth with a disability) who requires additional assistance to complete an	Youth who receive any WIA Youth program service follow applicable Data Element Validation source documentation requirements in Section 1 of Attachment D. A hard copy or scanned-in copy of the documentation is required.

Eligibility Item	Eligibility Definition	Source Documentation - Eligibility
	educational program, or to secure and hold employment, as identified by the local board.	
Military Selective Service	All males born after December 31, 1959 to be registered with the US Military Selective Service. Section 189(h) of WIA requires individuals to be in compliance with Section 3 of the Military Selective Service Act (50 USC Appr.452) in order to participate in WIA Title IB funded programs. Staff must follow operational guidance issued by DWD on verifying that a male customer born after December 31, 1959 is registered with the US Military Selective Service. This includes local management coordinating and publishing a policy for non-registered males, age 26+ and born after December 31, 1959.	The following source document verify the registration: • Acknowledgement letter from the Selective Service • Form DD-214 • Screen printout of the Selective Service Verification site: www.sss.gov/RegVer/wfVerification.aspx (Staff enters last name, SSN and date of birth at website. Printout includes Selective Service number and date of birth as confirmation for data validation) • Selective Service Registration Card • Selective Service Verification Form (form 3A) • Stamped Post Office Receipt of Registration A hard copy or scanned-in copy of the documentation is required.

Section 2
Inclusions and Exclusions for Determining Eligibility
Workforce Investment Act

Includable Forms of Income:

- Gross wages and salaries before deductions. Total money earnings received from work performed as an employee. If a family's only source of income was from wages and salary payments, family income would be equal to gross wages and salary received
- Net receipts from non-farm self-employment (receipts from a person's own unincorporated business, professional enterprise, or partnership after deductions for business expenses). If the business or enterprise has suffered a loss, this loss will be allowed to off-set wage earnings.
- Net receipts from farm self-employment (receipts from a farm which one operates as an owner, renter, or sharecropper, after deductions for farm operating expenses). If the farm has suffered a loss, this loss will be allowed to off-set wage earnings.
- Regular payments from railroad retirement benefits, strike benefits from union funds, worker's compensation, and training stipends;
- Alimony;
- Military family allotments or other regular support from an absent family member or someone not living in the household, except child support payments and military payments indicated below which are excluded from family income calculations;
- Pensions whether private or government employee (including military retirement pay);
- Regular insurance or annuity payments received by the individual or family member.
- College or university grants or scholarships based on merit, fellowships, and assistantships;
- Dividends, interest, net rental income, net royalties, periodic receipts from estates or trusts, and net gambling or lottery winnings;
- On-the-Job Training wages;
- Social Security Disability (SSDI) Insurance payments (Title II of the Social Security Act, Federal Old-Age, Survivors and Disability Insurance). SSDI pays benefits to individuals that have worked in the past, paid Social Security taxes, and are currently unable to work for a year or more because of a disability. SSDI in considered income replacement.

Excludable Forms of Income:

- State and federal unemployment insurance compensation;
- Regular payments from Old-Age, Survivors, and Disability Insurance (OASI) benefits received under Section 202 of the Social Security Act;
- Supplemental Security Income Insurance (SSI), Title XVI of the Social Security Act, for the Aged, Blind, and Disabled. SSI is an income supplement program funded by general tax revenues and pays benefits based on financial need (not Social Security taxes). SSI is designed to help aged, blind, and disabled people who have little or no income and provides cash to meet basic needs for food, clothing, and shelter;

- **Needs-based** scholarship assistance;
- Financial assistance under Title IV of the Higher Education Act, i.e., Pell Grants, Federal Supplemental Educational Opportunity Grants and Federal Work Study, PLUS (Stafford and Perkins loans, like any other kind of loans, are debt and not income);
- Child support payments;
- Cash welfare payments under a federal, state, or local income-based public assistance program (e.g., Temporary Assistance for Needy Families (TANF), Emergency assistance money payments);
- Refugee Cash Assistance (Refugee Assistance Act of 1980 - PL 97-212);
- General Assistance;
- Foster child care payments;
- Non-cash benefits such as employer-paid or union-paid portion or health insurance or other employee fringe benefits, Medicare, Medicaid, food stamps, school meals, and housing assistance;
- Cash value of food or housing received in lieu of wages;
- Cash payments received under Title V of the Older American's Act;
- Allowance, earnings, and payments made to individuals participating in WIA programs or any other workforce development program for which eligibility is based upon a needs and/or income test;
- U. S. Housing and Urban Development (HUD) rental assistance subsidies;
- Subsidies for child care made on behalf of a family participating in the child care voucher program administered by the county Step Ahead Council;
- Certain one-time cash payments including: tax refunds; one-time gifts; loans, which are debt and not income; assets from the sale of a home, property, or car; one-time insurance settlements; lump sum inheritances; one-time compensation for injury; etc.
- Capital gains and losses;
- Income earned while a veteran was on active military duty and certain other veterans' benefits, i.e., compensation for service-connected disability, family compensation for service-connected death, vocational rehabilitation, and education assistance;
- IRA withdrawals;
- Stipends received in the following programs: VISTA, Peace Corps, Foster Grandparent Program, YouthWorks/AmeriCorps Programs, and Retired Senior Volunteer Program;
- Job Corps payments;
- Assets drawn down as withdrawals from a bank;
- Payments received under the Trade Readjustment Act of 1974

Note: the documents used to calculate a family's income level are generally valid for a one-month period of time, unless specified otherwise – Once low income eligibility has been established for a youth or an adult income-based program, the customer must receive a service under the funding source within 30 calendar days.

Attachment D
Data Validation Requirements

The purpose of this document is to provide the definition and the allowable source documentation for each data element under Workforce Investment Act Title IB Adult, Youth and Dislocated Worker, National Emergency Grant, and Trade Adjustment Assistance funding sources.

It is the policy of DWD to follow US DOL guidance on which customer data elements are validated and the source documentation required to validate those data elements. Federal guidance on data validation was provided through TEGL 28-11 issued May 9, 2012 and entitled, "PY 2011/FY 2012 Performance Reporting and Data Validation Timelines" and TEGL 31-09 dated June 11, 2010 and entitled, "Program Year 2009/Fiscal Year 2010 Performance Reporting and Data Validation Timelines."

The data element, the funding source(s) for which the data element is applicable and the definition for the data element are provided in this document. WorkOne staff needs to recognize these data elements and become familiar with their data element definitions when entering customer data into Indiana's customer case management system (TrackOne). These are the data elements, which after a positive (passing) validation review, ensures accurate eligibility determination, service provision and outcomes.

A positive (passing) validation of a data element can be achieved in two ways (depending on the requirements for the specific data element):

- **MATCH** – the data on the validation worksheet must be the same as the data on the source documentation, i.e., verifying that a data demographic is accurate. For example, if the validation worksheet indicates the date of birth is July 15, 1975, the source documentation must also indicate July 15, 1975.
- **SUPPORT** – the source documentation must provide evidence that the data on the validation worksheet is correct i,e, substantiating or supporting that a key condition or characteristic is valid. For example, source documentation is used to support "youth who needs additional assistance" because validators must interpret policy and determine if the documentation supports that policy.

This document also provides charts that indicate if a data element must be matched or supported. Only one of the items listed under "Reporting Documentation Requirements" (in accordance with the service received) is needed for data validation purposes.

Section 1 of this attachment provides guidance for data elements needed under Workforce Investment Act Title IB Adult, Youth and Dislocated Worker, and National Emergency Grant programs.

Section 2 provides guidance for data elements needed under the Trade Adjustment Assistance program.
NOTE: The guidance does <u>not</u> provide operational direction for entering participant data into TrackOne. That direction will be provided in future communication documents issued by DWD.

Section 1

Data Element Validation (DEV) Requirements
Workforce Investment Act (WIA) Adults, Dislocated Workers, Youth age 14-21, and NEG

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Date of Birth The individual's date of birth	**MATCH** *Adult/Dislocated Worker/NEG who received Self-Services/Informational Core Services only:* Self-attestation *Adult/Dislocated Worker/NEG who received Staff-Assisted Core Services only:* Hard or electronic case notes that include the data source and identifying information reviewed by staff. For example, if a driver's license is used, the driver's license number should be included in the case note. *Adult/Dislocated Worker/NEG who received Intensive or Training Services and Youth age 14-21* *Must have paper or scanned documentation. The birth date must match on one of the following documents:* 1. Copy of ID 2. Baptismal Record 3. Birth Certificate 4. DD-214, Report of Transfer or Discharge Paper 5. Driver's License 6. Federal, State or Local government Identification Card 7. Hospital Record of Birth 8. Passport 9. Public Assistance/Social Service Records

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Date of Birth (Continued)	10. School Records/Identification Card 11. Work Permit 12. Tribal Records 13. Cross match with Department of Vital Statistics

Veteran Status
• "Veteran - Less Than or Equal to 180 days" - the individual is a person who served in the active US military, naval, or air service for a period of less than or equal to 180 days, and who was discharged or released from such service under conditions other than dishonorable.
• "Eligible Veteran" - the individual served on active duty for a period of more than 180 days and:
  • was discharged or released with other than a dishonorable discharge; or
  • was discharged or released because of a service connected disability; or
  • as a member of a reserve component under an order to active duty pursuant to Section 167(a), (d) or (g), 673(a) of Title 10 USC, served on active duty during a period of war or in a campaign or expedition for which a campaign badge is authorized and was discharged or released from such duty with other than a dishonorable discharge.
• "Veteran - Other Eligible Person" - the individual is:
  • The spouse of any person who died on active duty or of a service-connected disability;
  • The spouse of any member of the Armed Forces serving on active duty who at the time of application for assistance under this part, is listed, pursuant to 38 USC 101 and the regulations issued there under, by the Secretary concerned, in one or more of the following categories and has been so listed for more than 90 days:
	SUPPORT
	
	Adult/Dislocated Worker/NEG who received Staff-Assisted Core Services:
	1. Signed/dated applicant statement of self-attestation
	2. Signed/dated copy of application (for period of participation being reviewed) with veteran information completed
	3. Case notes in file or in the customer case management system containing the customer's detailed veteran status (accurate for the period of participation being reviewed)
	
	(A check-box alone in the customer case management system is not sufficient to support veteran status)
	
	Adult/Dislocated Worker/NEG who received Intensive or Training Services and Youth age 19-21:
	1. DD-214
	2. Letter from Veteran's Administration or documentation of a cross match with veteran's data with dates and branch of service specified

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Veteran Status (Continued) • missing in action; • captured in the line of duty by a hostile force; or • forcibly detained or interned in the line of duty by a foreign government or power; or • The spouse of any person who has a total disability permanent in nature resulting from a service-connected disability or the spouse of a veteran who died while a disability so evaluated was in existence. Do not record anything if the individual does not meet any one of the conditions listed above.	*For all above: Must have paper or scanned documentation or detailed case notes*

Employment Status at Participation
 	
• "Employed" - the customer is a person who either:
  • Did any work at all as a paid employee;
  • Did any work at all in his or her own business, profession, or farm; or
  • Worked 15 hours or more as an un-paid worker in an enterprise operated by a member of the family; or
  • Is one who was not working, but has a job or business from which he or she was temporarily absent because of illness, bad weather, vacation, labor-management dispute, or personal reasons, whether or not paid by the employer for time-off, and whether or not seeking another job.
 	
• "Employed but Received Notice of Termination of Employment or Military Separation" - the customer is a person who, although employed, either:
  • Has received a notice of termination of employment or the employer has issued a Worker Adjustment and Retraining Notification (WARN) or other notice that the facility or enterprise will close; or
	SUPPORT
	
	Adult/Dislocated Worker/NEG who received Staff-Assisted Core Services:
	1. The state case management system screens with detailed documentation that includes dates to support applicant statement indicating employment status that is **correct as of the first date of participation** (first service) of the period of participation being reviewed
	2. Signed/dated applicant statement of self-attestation
	3. Case notes containing the customer's employment status, the date the information was obtained **showing information collected from registrant being correct** as of the first date of participation for the period of participation being reviewed, and the case manager collecting the information.
	
	Adults/Dislocated Workers/NEG who received Intensive or Training Services and Youth age 14-21:
	1. Pay stub

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Employment Status at Participation (continued) • Is a transitioning service member. Do not record anything if the individual does not meet any one of the conditions listed above.	2. Case Notes containing the participant's employment status, the date the information was obtained **showing information collected from registrant is correct as of the first date of participation** for the period of participation being reviewed *For all above: Must have paper or scanned documentation or detailed case notes*

Low Income Status
 	
The individual is a person who:
• Receives, or is a member of a family which receives, cash payments under a federal, state or local income-based public assistance program; or
• Received an income, or is a member of a family that received a total family income, for the six-month period prior to program participation (exclusive of unemployment compensation, child support payments, payments described in the above bullet and old-age and survivors insurance benefits received under section 202 of the Social Security Act (42 USC 402)) that, in relation to family size does not exceed the higher of :
  • The poverty line, for an equivalent period; or
  • 70 percent of the lower living standard income level, for an equivalent period; or
• Is a member of a household that receives (or has been determined within the 6-month period prior to program participation) Food Stamps under the Food Stamp Act of 1977 (7 USC 2011 *et seq*); or
• Qualifies as a homeless individual, as defined in subsections (a) and (c) of section 103 of the Stewart B. McKinney Homeless Assistance Act (42 USC 11302); or
• Is a foster child on behalf of whom state or local government payments are made; or
	SUPPORT – for Intensive or Training Services you must have paper or scanned documentation (demonstrating information that is **current as of the date of participation** for the period of participation being reviewed)
	
	Adults who received Staff-Assisted Core Services:
	1. Specific, detailed information that is stored in the state case management system that provides evidence that the data element being verified is correct. (A checkmark or selection on a computer screen is not acceptable source documentation)
	2. Signed and dated applicant statement indicating the customer meets a condition of low income (includes signed and dated application from state case management system)
	3. Case Notes containing specific information demonstrating the customer's low income status, the date the information was obtained, and the case manager who obtained the information (accurate as of the client's period of participation)
	
	Adults who received Intensive or Training Services and Youth age 14-21 (must have documentation from the following list that on its own or in combination, documents the accuracy of the low income status reported):
	1. Alimony Agreement
	2. Applicant's Statement (detailed and signed by applicant)
	3. Award Letter from Veteran's Administration
	4. Bank Statements
	5. Compensation Award Letter
	6. Court Award Letter

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Low Income Status (Continued) • Is a person with a disability whose own income meets the income criteria established in WIA section 101(25) (A) or (B), but is a member of a family whose income does not meet the established criteria. Do not record anything if the individual does not meet any one of the conditions listed above.	7. Pension Statement 8. Employer Statement/Contact 9. Family or Business Financial Records 10. Housing Authority Verification 11. Pay stubs 12. Public Assistance Records – check for TANF, Food Stamps, etc. 13. Quarterly Estimated Tax for Self-employed Persons 14. Social Security Benefits 15. UI Documents and/or Printout
TANF - Needy Family Status The customer is a person who is listed on the welfare grant or has received cash assistance or other support services from the TANF agency in the last six months prior to participation in the program. Do not record anything if the customer does not meet the condition listed above.	**SUPPORT** *Adults/Dislocated Workers who received Staff-Assisted Core Services:* 1. The state case management system with other documentation to support (A check box alone is not sufficient documentation to support receiving TANF) 2 Applicant statement (signed and dated) indicating receiving TANF (includes signed and dated application from state case management system) 3.Case Notes containing the customer's status, the date the information was obtained, and the case manager who obtained the information (accurate as of the period of participation) *Adults/Dislocated Workers who received Intensive or Training Services and Youth age 14-21:* 1. Detailed supporting evidence that includes dates of participation and services rendered (demonstrating information is current as of the date of participation for the period of participation being reviewed) NOTE: Validators do not have access to TANF Public Assistance Records. *For all above: Must have paper or scanned documentation or detailed case notes*

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Other Public Assistance Recipient The individual is a person who is receiving or has received cash assistance or other support services from one of the following sources in the last six months prior to participation in the program: • General Assistance (GA) (state/local government) • Refugee Cash Assistance (RCA) • Food Stamp Assistance; and • Supplemental Security Income (SSI-SSA Title XVI). Do not include foster child payments. In the United States, General Assistance encompasses a widely varying set of assistance programs that share two defining characteristics: 1) They are funded and administered by the state, county and/or locality in which the particular program operates; and 2) They provide benefits to low-income persons who are not eligible for federal assistance. Across states, assistance is usually done as cash benefits and also includes state-funded medical assistance. Do not record anything if the individual does not meet the criteria listed above	**SUPPORT** (accurate as of date of participation for the period of participation being reviewed) *Adult/Dislocated Worker who received Staff-Assisted Core Services:* 1. Specific, detailed information that is stored in the state case management system that provides evidence that the data element being verified is correct. (A checkmark or selection on a computer screen is not acceptable source documentation) 2. Applicant statement indicating receiving other public assistance (signed and dated) (includes signed and dated application from state case management system) 3. Case Notes – paper or on-line statements by the case manager that identifies a customer's status, the date on which the information was obtained, and the case manager who obtained the information (accurate as of the client's period of participation) *Adult/Dislocated Workers who received Intensive or Training Services and Youth age 14-21:* *1. Copy of authorization to receive cash public assistance* *2. Copy of public assistance check* *3. Medical card showing cash grant status* *4. Public assistance, refugee assistance records* *5. Documentation from state public assistance records showing dates of participation and services rendered. NOTE: Validators do not have access to public assistance data base.* *For all above: Must have paper or scanned documentation or detailed case notes*

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Displaced Homemaker The individual: • Is a person who has been providing unpaid services to family members in the home, and has been dependent on the income of another family member but is no longer supported by that income; and • Is unemployed or underemployed; and • Is experiencing difficulty in obtaining or upgrading employment. Do not record anything if the individual does not meet the condition described above.	**SUPPORT** *Dislocated Workers/NEG who received Staff-Assisted Core Services:* 1. Specific, detailed information that is stored in the state case management system that provides evidence that the data element being verified is correct. (A checkmark or selection on a computer screen is not acceptable source documentation.) 2. Applicant statement indicating receiving other public assistance (signed and dated) (includes signed and dated application from state case management system) 3. Case Notes – paper or on-line statements by the case manager that identifies a customer's status, the date on which the information was obtained, and the case manager who obtained the information (accurate as of the client's period of participation) *Dislocated Workers/NEG who received Intensive or Training Services:* 1. Public Assistance Records 2. Divorce paper 3. Court records 4. Bank records 5. Spouse's layoff notice 6. Spouse's death record 7. Applicant statement (signed and dated-includes signed and dated application from state case management system) *For all above: Must have paper or scanned documentation or detailed case notes*

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Date of Actual Qualifying Dislocation Date of separation or dislocation from employment. This date is the last day of employment at the dislocation job. Do not record anything if there is no dislocation job (e.g. displaced homemaker).	**MATCH** *Dislocated Workers/NEG:* 1. Verification from employer and/or lay-off list 2. Rapid response list 3. Notice of lay-off 4. Public announcement with UI screen printout with separation date 5. Applicant statement (signed and dated) (includes signed and dated application from state case management system) *For all above: Must have paper or scanned documentation or detailed case notes.*
Homeless Individual and/or Runaway Youth The individual is a person who lacks a fixed, regular, adequate night time residence. This definition includes: • Any individual who has a primary night time residence that is a publicly or privately operated shelter for temporary accommodation; • An institution providing temporary residence for individuals intended to be institutionalized; or • A public or private place not designated for or ordinarily used as a regular sleeping accommodation for human beings; or • A person under 18 years of age who absents himself or herself from home or place of legal residence without the permission of his or her family (i.e., runaway youth).	**SUPPORT** *Adult and Youth age 14-21:* 1. Written statement from shelter provider 2. Written statement from individual providing temporary residence 3. Written statement from social service agency 4. Applicant statement (including signed and dated completed application) indicating individual is homeless and/or a runaway (signed and dated showing information is accurate as of the date of participation for the period of participation being reviewed).

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Homeless Individual and/or Runaway Youth (Continued) This definition does not include an individual imprisoned or detained under an Act of Congress or state law. An individual who may be sleeping in a temporary accommodation while away from home should not, as a result of that alone, be recorded as homeless. Do not record anything if the individual does not meet the condition listed above.	*For all above: Must have paper or scanned documentation or detailed case notes*
Offender The individual is a person who either: • Is or has been subject to any stage of the criminal justice process for committing a status offense or delinquent act; or • Requires assistance in overcoming barriers to employment resulting from a record of arrest or conviction for committing delinquent acts, such as crimes against persons, crimes against property, status offenses, or other crimes. Do not record anything if the individual does not meet any one of the condition described above.	**SUPPORT** *<u>Adult and Youth age 14-21:</u>* 1. Documentation from justice system 2. Documented phone call with court representatives (This can be described in case notes - include details of who talked to whom and when in the case notes) 3. Applicant statement (including signed and dated completed application) indicating individual is an offender (signed and dated). *For all above: Must have paper or scanned documentation or detailed case notes*
Pregnant or Parenting Youth The individual is a person who is either : • Under 22 years of age and who is pregnant; or • An individual (male or female) who is providing custodial care for one or more dependents under age 18. Do not record anything if the individual does not meet the condition described above.	**SUPPORT** - Must have paper or scanned documentation or detailed case notes *<u>Youth age 14-21:</u>* 1. Child's Birth Certificate 2. Doctor's Note confirming pregnancy 3. Baptismal Record 4. Observation of pregnancy status (This can be documented in case notes) 5. Applicant statement (including signed and dated completed application) indicating the youth is pregnant/parenting (signed and dated)

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Youth Who Needs Additional Assistance The individual is a person who is between the ages of 14 and 21 and requires additional assistance to complete an educational program or to secure and hold employment as defined by state or local policy. Do not record anything if the individual does not meet the condition described above.	**SUPPORT** *Youth age 14-21:* 1. Applicant statement (including signed and dated completed application) containing information that indicates the youth requires additional assistance according to the local plan (review local plan) 2. When information provided by the applicant or written by the case manager in **case notes** indicates the need for additional assistance 3. **Individual Service Strategy (ISS**) requiring specific additional assistance within local policy 4. Specific, detailed information that is stored in the state case management system that provides evidence that the data element being verified is correct (accurate as of the client's period of participation). (A checkmark or selection on a computer screen is not acceptable source documentation.) *For all above: Must have paper or scanned documentation or detailed case notes*
School Status at Participation • "In-school, High School or less" - the individual has not received a secondary school diploma or its recognized equivalent and is attending any secondary school (including elementary, intermediate, junior high school), whether full or part-time, or is between school terms and intends to return to school. • "In-school, Alternative School" - the individual has not received a secondary school diploma or its recognized equivalent and is attending an alternative high school or an alternative course of study approved by the local educational agency whether full or part-time.	**SUPPORT** *Youth age 14-21:* 1. Educational institution records (such as GED certificate, diploma, attendance record, transcripts, dropout letter, school documentation) 2. Application form (showing information correct at date of participation for the period of participation under review) 3. Self-attestation (signed and dated) indicating the school status at the time of participation for the period of participation being reviewed 4. Specific, detailed information that is stored in the state case management system that provides evidence that the data element being verified is correct (accurate as of the client's period of participation). (A checkmark or selection on a computer screen is not acceptable source documentation.)

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
School Status at Participation (Continued) • "In-school, Post-High School" - the individual has received a secondary school diploma or its recognized equivalent and is attending a post-secondary school or program (whether full or part-time), or is between schools terms and intends to return to school. • "Not attending school; High School Dropout" - the individual is no longer attending any school and has not received a secondary school diploma or its recognized equivalent. • "Not attending school; High School Graduate" – the individual is not attending any school and has either graduated from high school or holds a GED.	*For all above: Must have paper or scanned documentation or detailed case notes*
Basic Literacy Skills Deficiency (as defined in 20 CFR 664.205) The customer is a person who computes or solves problems, reads, writes, or speaks English at or below the 8th grade level or is unable to compute or solve problems, read, write, or speak English at a level necessary to function on the job, in the individual's family, or in society. In addition, states and grantees have the option of establishing their own definition, which must include the above language. In cases where states or grantees establish such a definition, that definition will be used for basic literacy skills determination. Do not record anything if the individual does not meet the condition described above.	**SUPPORT** *Youth age 14-21:* 1. Standardized assessment test with scores recorded in the state case management system 2. School records indicating literacy/numeracy deficiency 3. Case Notes – must include the customer's status, the date the information was obtained, and the case manager who obtained the information (for the period of participation being reviewed) *Must have paper or scanned documentation or detailed case notes*

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Foster Care Youth A customer who is in foster care or has ever been in the foster care system. Do not record anything if the individual does not meet the condition described above.	**SUPPORT** *Youth age 14-18:* 1. Case Notes – paper or on-line statements by the case manager that identifies a customer's status, the date on which the information was obtained, dates in foster care and the case manager who obtained the information (for the period of participation being reviewed). 2. Written confirmation from state/local or other social services agency *Must have paper or scanned documentation or detailed case notes*
Date of Program Participation The date on which the individual began receiving his or her first service funded by the program following a determination of eligibility to participate in the program.	**MATCH** *Adult/Dislocated Worker/NEG:* 1. Specific, detailed information that is stored in the state case management system or the case file that provides evidence that the data element being verified is correct (for the period of participation being reviewed) *Detailed case notes are necessary.*
Date of Exit The date on which the last service funded by the program or a partner program is received by the customer. Once a customer has not received any services funded by the program or a partner program for 90 consecutive calendar days and has no gap in service and is not scheduled for future services, the date of exit is applied retroactively to the last day on which the individual received a service funded by the program or a partner program.	**MATCH** *Adult/Dislocated Worker/NEG/Youth age 14-21:* Specific, detailed information that is stored in the state case management system or the case file that provides evidence that the data element being verified is correct (for the period of participation being reviewed). *Detailed case notes are necessary.*

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Date of First Youth Service The date on which the youth began receiving his or her first service funded by the WIA Youth program following a determination of eligibility to participate in the program.	**MATCH** *Youth age 14-21*: Specific, detailed information that is stored in the state case management system or the case file documenting the **exact date** the initial YOUTH service that was received by the YOUTH from the funding stream providing that initial YOUTH service. Both the funding stream and date of first service must be documented. *Detailed case notes concerning the youth service are necessary.*
National Emergency Grant Project Number The Project Identification Number where the individual received services financially assisted under the NEG.	**MATCH** NEG: • Case file data • NEG award letter to the state that identifies the project number assigned by the US DOL NEG Grant Officer *A hard copy or scanned-in copy of the documentation or detailed case notes are required*

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Other Reasons For Exit • "Institutionalized" - the customer is residing in an institution or facility providing 24-hour support such as a prison or hospital and is expected to remain in that institution for at least 90 days. • "Health/Medical" - the customer is receiving medical treatment that precludes entry into unsubsidized employment or continued participation in the program. Does not include temporary conditions expected to last for less than 90 days. • "Deceased" - the customer was found to be deceased or no longer living. • "Family Care" - the customer is providing care for a family member with a health/medical condition that precludes entry into unsubsidized employment or continued participation in the program. Does not include temporary conditions expected to last for less than 90 days. • "Reserve Forces Called to Active Duty" - the customer is a member of the National Guard or other reserve military unit and is called to active duty for at least 90 days. • "Relocated to Mandated Residential or Non-Residential Program" - the youth customer is in the foster care system or any other mandated residential or non-residential program and has moved from the area as part of such a program or system (exclusion for youth customers only). • "Retirement" - the adult retired from employment. (Note: adults who exit the program based on this reason will not be excluded from the calculation of performance measures; they will be included.) • "Not a Valid SSN" - the customer either disclosed an invalid Social Security Number (SSN) or chose not to disclose a SSN. Do not record anything if the customer exited for a reason other than one of the conditions listed above.	**SUPPORT** *Adult/Dislocated Worker/NEG/Youth age 14-21:* 1. **Detailed Case Notes with complete documentation** describing the condition for the reason for exit 2. Information from partner services MIS systems 3. Information from institution or facility *Must have paper or scanned documentation or detailed case notes*

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Date of First Staff-Assisted Core Service The date on which the individual received his or her first staff-assisted core service. Note: This excludes self-service and informational activities. Do not record anything if the individual did not receive staff-assisted core services.	**MATCH** *Adult/Dislocated Worker/NEG:* Information that is stored in the state case management system or the case file that provides evidence that the data element being verified is correct (specific and detailed information including service provided, provider and date of service, and accurate for the client's period of participation) *Paper or scanned documentation is not required if detailed case notes are entered into the case management system*
Date of First Intensive Service The date on which the individual received his or her first intensive service. Do not record anything if the individual did not receive intensive services.	**MATCH** *Adult/Dislocated Worker/NEG*: Information that is stored in the state case management system or the case file that provides evidence that the data element being verified is correct and is accurate for the client's period of participation (specific and detailed information including service provided, provider and date of service) *Paper or scanned documentation is not required if detailed case notes are entered into the case management system*
Date Entered Training The date on which the individual's training actually began. If multiple training services were received, record the earliest date on which the individual entered training. Do not record anything if the individual did not receive training services.	**MATCH** *Adult/Dislocated Worker/NEG:* 1. Information that is stored in the state case management system or the case file that provides evidence that the data element being verified is correct and is accurate for the client's period of participation (specific and detailed information including service provided, vendor and date training service was received) 2. Cross-match between dates of service and vendor training information 3. Vendor training information *For all above: Must have paper or scanned documentation or detailed case notes*

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Date Completed or Withdrew from Training The date on which the customer completed training or withdrew from training. If multiple training services were received, record the most recent date on which the individual completed training. Do not record anything if the individual did not receive training services.	**MATCH** *<u>Adult/Dislocated Worker/NEG</u>:* 1. Information that is stored in the state case management system or the case file that provides evidence that the data element being verified is correct and is accurate for the client's period of participation (specific and detailed information including service provided, service provider and last date training was received) 2. Cross-match between dates of service and vendor training information 3. Vendor training documentation *Paper or scanned documentation is not required if detailed case notes are entered into the case management system*
Type of Training Services #1 Enter the appropriate type of training being provided to the individual: On-the-Job Training; Skill Upgrading & Retraining; Entrepreneurial Training; ABE or ESL in Combination with Training; Customized Training; Other Occupational Skills Training. Do not record anything if the individual did not receive training services.	**SUPPORT** *<u>Adult/Dislocated Worker/NEG:</u>* 1. Vendor training documentation 2. Certificates indicating completion of the type of training service 3 Information that is stored in the state case management system or the case file (including case notes) that provides evidence that the data element being verified is correct and is accurate for the client's period of participation (specific and detailed information including service provided, service provider and last date training was received) *For all above: Must have paper or scanned documentation or detailed case notes*

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Enrolled in Education The youth is enrolled in secondary school, post-secondary school, an adult education program, or any other organized program of study. This coding may be used if the youth was either already enrolled in education at the time of participation in the program or became enrolled in education at any point while participating in the program. Do not record anything if the individual was not enrolled in education.	**SUPPORT** *Youth age 14-21:* 1. Applicable records from educational institutions certifying enrollment 2. Case Notes with verification from educational institution or training provider indicating the youth is enrolled in education during the period of participation being reviewed. *For all above: Must have paper or scanned documentation or detailed case notes*
Received Educational Achievement Services The youth received educational achievement services. Educational achievement services include, but are not limited to, tutoring, study skills training, and instruction leading to secondary school completion, including dropout prevention strategies; and alternative secondary school offerings. Do not record anything if the individual did not receive the service described above.	**SUPPORT** *Youth age 14-21:* 1. Information that is stored in the state case management system or the case file that provides evidence that the data element being verified is correct and is accurate for the client's period of participation (POP) (specific and detailed information including service provided, service provider and dates service was received) 2. Sign-in sheets indicating attendance during the POP 3. Attendance Records indicating attendance during the POP 4. Vendor Contract for time period during the POP 5. Activity sheets for time period during the POP *For all above: Must have paper or scanned documentation or detailed case notes*

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Received Employment Services The youth received employment services. Employment services include paid and unpaid work experiences, including internships, and job shadowing; and occupational skills training. Do not record anything if the individual did not receive the service described above.	**SUPPORT** *Youth age 14-21:* 1. Information that is stored in the state case management system or the case file that provides evidence that the data element being verified is correct and is accurate for the client's period of participation (POP) (specific and detailed information including service provided, service provider and dates service was received) 2. Sign-in sheets indicating attendance during the POP 3. Attendance Records indicating attendance during the POP 4. Vendor Contract for time period during the POP 5. Work agreement for time period during the POP 6. Activity sheets for time period during the POP *For all above: Must have paper or scanned documentation or detailed case notes*
Received Summer Employment Opportunities The youth received summer employment opportunities directly linked to academic and occupational learning. Do not record anything if the individual did not receive the service described above.	SUPPORT *Youth age 14-21:* 1. Information that is stored in the state case management system or the case file that provides evidence that the data element being verified is correct and is accurate for the client's period of participation (POP) (specific and detailed information including service provided, service provider and date(s) service was received) 2. Sign-in sheets indicating attendance during the POP 3. Attendance Records indicating attendance during the POP 4. Vendor Contract for time period during the POP 5. Activity sheets for time period during the POP *For all above: Must have paper or scanned documentation or detailed case notes*

<table>
<tr><th colspan="2">Data Element Validation Requirements – Workforce Investment Act (WIA)</th></tr>
<tr><th>Data Element Definition of Description</th><th>Reporting Documentation Requirements</th></tr>
<tr><td>Received Additional Supports for Youth Services

The youth received supports for youth services that includes, but are not limited to, the following:

• Adult mentoring for a duration of at least twelve (12) months, that may occur both during and after program participation; or
• Comprehensive guidance and counseling, including drug and alcohol abuse counseling, as well as referrals to counseling, as appropriate to the needs of the individual youth.

Do not record anything if the individual did not receive any of the services described above.</td><td>SUPPORT

<u>Youth age 14-21:</u>
1. Information that is stored in the state case management system or the case file that provides evidence that the data element being verified is correct and is accurate for the client’s period of participation (POP) (specific and detailed information including service provided, service provider and date service was received)
2. Activity sheets for time period during the POP
3. Sign-in sheets indicating attendance during the POP
4. Attendance Records indicating attendance during the POP
5. Work agreement for time period during the POP
For all above: Must have paper or scanned documentation or detailed case notes</td></tr>
<tr><td>Received Leadership Development Opportunities

The youth received services that include, but are not limited to, opportunities that encourage responsibility, employability, and other positive social behaviors such as:
• Exposure to post-secondary educational opportunities;
• Community and service learning projects;
• Peer-centered activities, including peer mentoring and tutoring;
• Organizational and team work training, including team leadership training
• Training in decision making, including determining priorities; and
• Citizenship training, including life skills training such as parenting, work behavior training, and budgeting of resources.

Do not record anything if the individual did not receive the service described above.</td><td>SUPPORT

<u>Youth age 14-21</u>:
1. Information that is stored in the state case management system or the case file that provides evidence that the data element being verified is correct and is accurate for the client’s period of participation (POP) (specific and detailed information including service provided, service provider and date service was received)
2. Attendance Records indicating attendance during the POP
3. Vendor Contract for time period during the POP
4. Activity sheets for time period during the POP

For all above: Must have paper or scanned documentation or detailed case notes</td></tr>
</table>

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Received Follow-Up Services The youth received 12 months of follow-up services. Follow-up services for youth include: • Regular contact with a youth customer's employer, including assistance in addressing work-related problems that arise; • Assistance in securing better paying jobs, career development and further education; • Work-related peer support groups; • Adult mentoring; and • Tracking the progress of youth in employment after training. Do not record anything if the youth has not exited or has exited and is continuing to receive follow-up services, but has not yet received 12 months of follow-up services. Do not record anything if the youth did not receive 12 months of follow-up services. If a youth re-enrolls in WIA within 12 months of exit, indicate if follow-up services were provided from exit to re-enrollment	**SUPPORT** *Youth age 14-21:* 1. Information that is stored in the state case management system or the case file that provides evidence that the data element being verified is correct and is accurate for the client's period of participation (POP) (specific and detailed information including service provided, service provider and date(s) service was received) 2. Attendance Records indicating attendance during the 12 months following the POP 3. Documented receipt for follow-up support services during the 12 months following the POP 4. Activity sheets for time period following the POP Follow-up services MUST be provided for 12 months after an exit unless the youth re-enrolls. *For all above: Must have paper or scanned documentation or detailed case notes*

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Type of Employment Match 1st, 2nd, & 3rd Quarters After Exit Quarter Customer's employment is validated **No staff action required unless supplemental data is used:** The state case management system automatically records wages from the quarterly UI Wage Record System (WRS) and the Wage Record Interchange System (WRIS) and validation is conducted by IDWD. If wages are reported from supplemental data, staff must record in the state case management system that the customer achieved an employment outcome.	NOTE: Documentation requirements apply only if wages are reported from supplemental data. **SUPPORT** _Adult/Dislocated Worker/NEG/Youth age 14-21:_ 1. Follow-up services recorded through appropriate state case management system processes with complete documentation. 2 The state case management system screens with detailed case notes, documenting supplemental data sources including case management notes, automated data base systems, WorkOne operating systems' administrative records, surveys of participants, and contacts with employers. 3 Participant surveys with complete documentation 4 Record sharing and/or automated record matching with other employment and administrative databases 5 Other out-of-state wage record systems 6 Detailed Case Notes – paper or on-line statements by the case manager that identifies a customer's status, the date on which the information was obtained and the case manager who wrote the case note and is accurate for the client's period of participation. Supplemental data only *Applicant statement alone is not sufficient unless the applicant was included in a survey* *For all above: Must have paper or scanned documentation or detailed case notes.*

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Type of Recognized Credential Record the type of recognized educational or occupational certificate, credential, diploma or degree attained by the individual who received training services: High School Diploma/GED; AA or AS Diploma/Degree; BA or BS Diploma/Degree; Occupational Skills Licensure; Occupational Skills Certificate or Credential; Other Recognized Educational or Occupational Skills Certificate/Credential. Do not record anything if the individual received training services but did not attain a recognized credential. Credentials must be attained either during participation or by the end of the third quarter after the quarter of exit from services (other than follow-up services).	**SUPPORT** *Adult, Dislocated Worker, Youth age 19-21:* 1. Detailed Case Notes – paper or on-line statements by the case manager that identifies a customer's status, the date on which the information was obtained and the name of the case manager obtaining the information and is accurate for the client's period of participation. 2. Participant surveys with complete documentation 3. Transcripts, certificates or diploma *For all above: Must have paper or scanned documentation or detailed case notes*

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Type of Goal **NOTE: This element is not required in Indiana; however, if goal data is reported in state case management system, the goal data will be validated)** Goal Type Record the type of skill attainment goal: Basic Skills; Occupational Skills; Work Readiness Skills. Setting one basic skills goal is required if the youth is basic literacy skills deficient. Date Goal Set Record the date on which the goal was set for the youth, except that the date of the first goal set must be recorded as the registration date.	*Youth age 14-18:* Goal Type **SUPPORT** 1. The state case management system screens with detailed case notes 2. Detailed case notes entered into the state case management system identifying the goal set for youth and indicating that attainment occurred during the Period of Participation (POP) for the youth. Date Goal Set **MATCH** 1. Transcripts, test records 2. School/Employer Notification or documentation 3. The state case management system screens with detailed case notes 4. Detailed case notes entered into the state case management system identifying the goal and the date the goal was set for the youth and indicating the attainment occurred during the POP for the youth.

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Type of Goal (Continued) <u>Goal Attainment</u> • Attained” - the goal was attained. Attainment of a goal is to be based on an individual’s assessment using widely accepted and recognized measurement/assessment techniques. • “Set, but not attained” - the goal was set, but not attained. A goal is not attained when the anniversary date has passed without attainment of the goal. The anniversary date of a goal is the date one year after the date the goal was set. • Set, but attainment is pending” - the goal was set, but attainment is pending. This code should not be used after exit. When the youth exits, this field should be marked with “Attained” or “Set, but not Attained” for all goals that have been set.	<u>Goal Attainment</u> **SUPPORT** 1. Transcripts, test records 2. School/Employer Notification or documentation 3. The state case management system screens with detailed case notes 4. Detailed case notes entered into the state case management system indentifying the youth’s goal attainment status and indicating the attainment occurred during the POP of the youth.
<u>Date Goal Attained</u> Record date on which the goal was attained. This date should be on or before the one-year anniversary of the date the goal was set. However, it may be later if the customer had a gap in service during which services were not received but the customer planned to return to the program.	<u>Date Goal Attained</u> **MATCH** 1. Transcripts, test records 2. School/Employer Notification or documentation 3. The state case management system screens with detailed case notes 4. Detailed case notes entered into the state case management system indicating the date of the youth’s goal attainment, the goal attainment status and indicating the attainment occurred during the POP of the youth. *For all above: Must have paper or scanned documentation or detailed case notes*

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Attained Diploma, GED, or Certificate • "Individual attained a secondary school (high school) diploma" - the individual attained a secondary school (high school) diploma recognized by the state. • "Individual attained a GED or high school equivalency diploma" - the individual attained a GED or high school equivalency diploma recognized by the state. • "Individual attained a certificate or other post-secondary degree/diploma" - the individual attained a certificate in recognition of an individual's attainment of technical or occupational skills or other post-secondary degree/diploma. • "Individual did not attain a diploma, GED, or certificate" - the individual did not attain a diploma, GED, or certificate. SPECIAL NOTE: "Attained Diploma, GED, or Certificate" and "Date Attained Degree or Certificate" will be used to calculate the common measure Attainment of a Degree or Certificate for All WIA Youth (ages 14-21). To achieve positive outcomes, the grantee should make sure that "Individual attained a secondary school (high school) diploma" or "Individual attained a GED or high school equivalency diploma" are reported when the youth receives a diploma or equivalent either during participation in the program or by the end of the first quarter after the quarter of exit. If the youth receives another degree or certificate beyond the first quarter after the quarter of exit, the grantee should not update the record. If the youth <u>did not</u> receive a high school diploma or GED by the end of the first quarter after exit, but did receive one or more certificates while either participating in the program or by the end of the third quarter after exit, the grantee should record the most recent certificate attained.	**SUPPORT** *<u>Youth age 14-21:</u>* 1. Transcripts, certificates or diploma 2. Letter or other documentation from school system *For all above: Must have paper or scanned documentation or detailed case notes*

<table>
<tr><th colspan="2">Data Element Validation Requirements – Workforce Investment Act (WIA)</th></tr>
<tr><th>Data Element Definition of Description</th><th>Reporting Documentation Requirements</th></tr>
<tr><td>Date Attained Degree or Certificate

Record the date on which the individual attained a diploma, GED, or certificate. Ideally, the date should be the date listed on the diploma, GED, or certificate.
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SPECIAL NOTE: For recording multiple degree or certificates, “Attained Diploma, GED, or Certificate” and “Date Attained Degree or Certificate” will be used to calculate the common measure Attainment of a Degree or Certificate for All WIA Youth (ages 14-21). To achieve positive outcomes grantees should make sure that “Individual attained a secondary school (high school) diploma” or “Individual attained a GED or high school equivalency diploma” are reported when the youth receives a diploma or equivalent either during participation in the program or by the end of the first quarter after the quarter of exit. If the youth receives another degree or certificate beyond the first quarter after the quarter of exit, the grantee should not update the record. If the youth <u>did not</u> receive a high school diploma or GED by the end of the first quarter after exit, but did receive one or more certificates while either participating in the program or by the end of the third quarter after exit, the grantee should record the most recent certificate attained.

Do not record anything if the individual did not attain a diploma, GED, or certificate</td><td>MATCH

<u>Youth age 14-21:</u>
1. Transcripts, certificates or diploma
2. Letter or other documentation from school system

For all above: Must have paper or scanned documentation or detailed case notes</td></tr>
</table>

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
School Status at Exit • "In-school, High School or less" - the individual has not received a secondary school diploma or its recognized equivalent and is attending any primary or secondary school (including elementary, intermediate, junior high school), whether full or part-time, or is between school terms and intends to return to school. • "In-school, Alternative School" - the individual has not received a secondary school diploma or its recognized equivalent and is attending an alternative high school or an alternative course of study approved by the local educational agency whether full or part-time. • "In-school, Post-High School" - the individual has received a secondary school diploma or its recognized equivalent and is attending a post-secondary school or program (whether full or part-time), or is between school terms and intends to return to school. • "Not attending school; High School Dropout" - the individual is no longer attending any school and has not received a secondary school diploma or its recognized equivalent. • "Not attending school; High School Graduate" – the individual is not attending any school and has either graduated from high school or holds a GED.	**SUPPORT** *Youth age 14-21:* 1. Transcripts, certificates or diploma 2. Letter or other documentation from school system 3. Detailed Case Notes – paper or on-line statements by the case manager that documents a customer's status, the date on which the information was obtained and the case manager obtaining the information and is accurate for the client's Period of Participation. *For all above: Must have paper or scanned documentation or detailed case notes*

<table>
<tr><th colspan="2">Data Element Validation Requirements – Workforce Investment Act (WIA)</th></tr>
<tr><th>Data Element Definition of Description</th><th>Reporting Documentation Requirements</th></tr>
<tr><td>Youth Placement Information

Record the primary activity the youth entered in the first quarter following the exit quarter: Entered post-secondary education; Entered advanced training; Entered military service; Entered a qualified apprenticeship. Youth may qualify for more than one activity. For example, if the youth enters advanced training and has entered a qualified apprenticeship, please record “Entered a qualified apprenticeship.”

Do not record anything if the youth did not enter any one of the activities listed in the coding value.</td><td>SUPPORT

<u>Youth age 14-21:</u>
1. Detailed supporting evidence from other agencies that includes dates and services rendered, apprenticeship verification, military service, advanced training, post-secondary education, transcripts, registration forms
2. Community college information
3. Employer contacts
4. Detailed Case Notes – paper or on-line statements by the case manager that identifies a customer’s status, the date on which the information was obtained and the case manager obtaining the information and is accurate for the client’s Period of Participation.

For all above: Must have paper or scanned documentation or detailed case notes</td></tr>
<tr><td>Youth Retention Information

Record the primary activity the youth entered in the third quarter following the exit quarter: In post-secondary education; In advanced training; In military service; In a qualified apprenticeship.

Youth may qualify for more than one activity. For example, if the youth enters advanced training and has entered a qualified apprenticeship, please record “In a qualified apprenticeship.”

Do not record anything if the youth did not enter any one of the activities listed in the coding value.</td><td>SUPPORT

<u>Youth age 14-21:</u>
1. Detailed supporting evidence from other agencies that includes dates and services rendered, apprenticeship verification, military service, advanced training, post-secondary education, transcripts, registration forms
2. Community college information
3. Employer contacts
4. Detailed Case Notes – paper or on-line statements by the case manager that identifies a customer’s status, the date on which the information was obtained and the case manager obtaining the information, and is accurate for the client’s Period of Participation.

For all above: Must have paper or scanned documentation or detailed case notes</td></tr>
</table>

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Assessment (Indiana has procured three assessments for use statewide: TABE for educational attainment; Indiana Career Explorer for career interest aptitude, and values inventory; and WorkKeys for workplace skills) <u>Category of Assessment</u> • "ABE" - the customer was assessed using approved tests for Adult Basic Education. • "ESL" - the customer was assessed using approved tests for English-As-A-Second Language. • Both ABE and ESL – the customer was assessed using approved test for ABE and ESL. Do not record anything if the individual was not assessed in literacy or numeracy. <u>Type of Assessment Test</u> The type of assessment test that was administered to the youth customer: TABE 9-10; CASAS (Life Skills); ABLE; WorkKeys; SPL; BEST; Best Plus; TABE Class E; Wonderlic; Other Approved Assessment Tool <u>Functional Area</u> The functional area: Reading; Writing; Language; Mathematics; Speaking; Oral; Listening; Other Literacy Functional Area; Other Numeracy Functional Area NOTE: The State of Indiana requires WIA Title I Youth participants, except for those youth enrolled in high school, to be assessed in three functional areas: Reading, Math and Language. Youth in high school are exempt from the Language assessment.	<u>*Youth age 14-21:*</u> <u>Category of Assessment</u> **SUPPORT** 1. Test records 2. Case Notes – paper or on-line statements by the case manager that identifies the category of assessment, the date on which the information was obtained and the case manager obtaining the information and is accurate for the client's Period of Participation. Case notes should also detail the customer's progress <u>Type of Assessment Test</u> **SUPPORT** 1. Test Records 2. Case Notes – paper or on-line statements by the case manager that identifies the category of assessment, the date on which the information was obtained and the case manager obtaining the information, and is accurate for the client's Period of Participation. Case notes should also detail the customer's progress. <u>Functional Area</u> **SUPPORT** 1. Test records 2. Case Notes – paper or on-line statements by the case manager that identifies the category of assessment, the date on which the information was obtained and the case manager obtaining the information, and is accurate for the client's Period of Participation. Case notes should also detail the customer's progress. Case notes should also detail the client's progress.

Data Element Validation Requirements – Workforce Investment Act (WIA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Assessment (Continued) <u>Date Administered Test</u> The date on which the pre-assessment test was administered to the youth customer. Do not enter anything if the individual was not assessed in literacy or numeracy.	<u>Date Administered Test</u> **MATCH** 1. Test records 2. Detailed case notes – paper or on-line statements by the case manager that identifies the category of assessment, the date on which the information was obtained and the case manager obtaining the information, and is accurate for the client's Period of Participation. Case notes should also detail the customer's progress
<u>Educational Functioning Level</u> Record the educational functioning level that is associated with the youth customer's raw scale score: Beginning ESL Literacy: Low Beginning ESL Literacy; Beginning ABE Literacy/High Beginning ESL Literacy; Beginning Basic Education/Low Intermediate ESL; Low Intermediate Basic Education/High Intermediate ESL; High Intermediate Basic Education/Advanced ESL; Low Adult Secondary Education/Exit ESL; High Adult Secondary Education Do not record anything if the individual was not assessed in literacy or numeracy.	<u>Educational Functioning Level</u> **SUPPORT** 1. Test records 2. Detailed case notes – paper or on-line statements by the case manager that identifies the category of assessment, the date on which the information was obtained and the case manager obtaining the information, and is accurate for the client's Period of Participation. Case notes should also detail the customer's progress. *For all above: Must have paper or scanned documentation or detailed case notes*

Section 2

Data Element Validation (DEV) Requirements
Trade Adjustment Assistance (TAA)

Data Element Validation Requirements – Trade Adjustment Assistance (TAA)	
Data Element Definition of Description	**Reporting Documentation Requirements**

Veteran Status
 	
• "Veteran - Less Than or Equal to 180 days" - the individual is a person who served in the active US military, naval, or air service for a period of less than or equal to 180 days, and who was discharged or released from such service under conditions other than dishonorable.
• "Eligible Veteran" - the individual served on active duty for a period of more than 180 days and:
  • was discharged or released with other than a dishonorable discharge; or
  • was discharged or released because of a service connected disability; or
  • as a member of a reserve component under an order to active duty pursuant to Section 167(a), (d) or (g), 673(a) of Title 10 USC, served on active duty during a period of war or in a campaign or expedition for which a campaign badge is authorized and was discharged or released from such duty with other than a dishonorable discharge.
• "Veteran - Other Eligible Person" - the individual is:
  • The spouse of any person who died on active duty or of a service-connected disability;
  • The spouse of any member of the Armed Forces serving on active duty who at the time of application for assistance under this part, is listed, pursuant to 38 USC 101 and the regulations issued there under, by the Secretary concerned, in one or more of the following categories and has been so listed for more than 90 days:
	SUPPORT
	
	1. Scanned or paper copy of DD-214
	2. Cross-match with Veterans Data
	3. Cross-Match with Wagner-Peyser
	4. State Case Management System - paper or scanned documentation is not required. However, detailed information must be present in the case management system sufficient to validate the data item (a checkmark does not work). The case management system must also be able to prove the information was current as of date the information was required to be collected for the specific period of participation.

Data Element Validation Requirements – Trade Adjustment Assistance (TAA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Veteran Status (Continued) • missing in action; • captured in the line of duty by a hostile force; or • forcibly detained or interned in the line of duty by a foreign government or power; or • The spouse of any person who has a total disability permanent in nature resulting from a service-connected disability or the spouse of a veteran who died while a disability so evaluated was in existence. Do not record anything if the individual does not meet any one of the conditions listed above.	*For all above: Must have paper or scanned documentation or detailed case notes*
Most Recent Qualifying Separation Most recent date of qualifying separation from trade-certified employment that qualifies the individual to receive benefits and/or services under the Trade Act.	**MATCH** 1. Layoff or Rapid Response Lists 2. Notice of Termination 3. Letter from Employer 4. 855 Series paperwork (paperwork that ties the worker to a petition) *Must have paper or scanned documentation - all documentation must be detailed and current for the specific period of participation.*
Date of Application Date on which the individual first applied for Trade Act services/benefits under the applicable certification.	**MATCH** 1. Scanned or paper signed and dated TrackOne Application 2. State Case Management System - paper or scanned documentation is not required. However, detailed information must be present in the case management system sufficient to validate the data item (a checkmark does not work). The case management system must also be able to prove the information was current as of date the information was required to be collected for the specific period of participation.

Data Element Validation Requirements – Trade Adjustment Assistance (TAA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Date of Exit The date on which the last service funded by the program or a partner program is received by the customer. Once a customer has not received any services funded by the program Or a partner program for 90 consecutive calendar days and has No gap in services and is not scheduled for future services, the Date of Exit is applied retroactively to the last day on which the individual received a service funded by the program or a partner program.	**MATCH** 1. Documentation of services in case file or case notes. 2. State Case Management System - paper or scanned documentation is not required. However, detailed information must be present in the case management system sufficient to validate the data item (a checkmark does not work). The case management system must also be able to prove the information was current as of date the information was required to be collected for the specific period of participation.
Petition Number The petition number of the certification which applies to the individual's group. If there is more than one petition number (for example, certifications under both TAA and NAFTA-TAA programs), record the petition number of the program from which the training is paid, unless a waiver is issued. Do NOT include any alphanumeric suffix; record the petition number ONLY.	**MATCH** 1. State Case Management System - paper or scanned documentation is not required. However, detailed information must be present in the case management system sufficient to validate the data item (a checkmark does not work). The case management system must also be able to prove the information was current as of date the information was required to be collected for the specific period of participation. 2. UI Records 3. DOL-ETA Website 4. Worker group certification in case file

Data Element Validation Requirements – Trade Adjustment Assistance (TAA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Date Entered Training Date when the customer's Trade approved training began. Do not record anything if the individual did not enter training.	**MATCH** 1. Case Notes 2. TAA Training Application & Determination Form 3. State Case Management System - paper or scanned documentation is not required. However, detailed information must be present in the case management system sufficient to validate the data item (a checkmark does not work). The case management system must also be able to prove the information was current as of date the information was required to be collected for the specific period of participation. 4. Attendance Lists 5. UI Records
Date Completed or Withdrew from Training The date on which the customer completed training or withdrew from training. If multiple training services were received, record the most recent date on which the individual completed or ended training. Do not record anything if the individual did not receive training services.	**MATCH** 1. TAA Exit Request Form 2. Vendor training documentation in case file 3. Training plan *Must have paper or scanned documentation - all documentation must be detailed and current for the specific period of participation.*

Data Element Validation Requirements – Trade Adjustment Assistance (TAA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Training Completed Record if the customer completed approved training or did not complete training (withdrew). Do not record anything if the individual did not receive training services or if the customer has not yet completed training.	**SUPPORT** 1. State Case Management System - paper or scanned documentation is not required. However, detailed information must be present in the case management system sufficient to validate the data item (a checkmark does not work). The case management system must also be able to prove the information was current as of date the information was required to be collected for the specific period of participation 2. Case Notes about communications with program 3. TAA Exit Request Form 4. Vendor training documentation in case file 5. Applicant statement 6. UI records
Date Received First Basic TRA Payment Allowance (TRA-B) Date upon which the customer received their first Basic Trade Readjustment Allowances (TRA-B) payment.	**SUPPORT** 1. State UI Records of TRA checks issued 2. State Case Management System - paper or scanned documentation is not required. However, detailed information must be present in the case management system sufficient to validate the data item (a checkmark does not work). The case management system must also be able to prove the information was current as of date the information was required to be collected for the specific period of participation. *Must have paper or scanned documentation - all documentation must be detailed and current for the specific period of participation.*
Waiver From Training Requirement Record the reason for issuance if a waiver from the Training Requirement is issued. Do not record anything if the individual did not receive a training waiver or is not a Trade-eligible client.	**SUPPORT** 1. Case file documentation that includes initial approval and renewals at 30-day intervals 2. Waiver of the training requirement form 3. State UI records of TRA checks *Must have paper or scanned documentation - all documentation must be detailed and current for the specific period of participation.*

Data Element Validation Requirements – Trade Adjustment Assistance (TAA)	
Data Element Definition of Description	**Reporting Documentation Requirements**
Employed 1st 2, & 3rd Quarters after Exit Customer was employed/not employed in the 1st and 3rd quarters after exit. No staff action required unless supplemental data is used: The state case management system automatically records wages from the quarterly UI Wage Record System (WRS) and the Wage Record Interchange System (WRIS) and validation is conducted by IDWD. If wages are reported from supplemental data, staff must record in the state case management system that the customer achieved an employment outcome**.**	NOTE: Documentation requirements apply only if wages are reported from supplemental data: **SUPPORT** 1. Follow-up services recorded through appropriate state case management system processes with complete documentation. 2. The state case management system screens with detailed case notes, documenting supplemental data sources including case management notes, automated data base systems, WorkOne operating systems' administrative records, surveys of participants, and contacts with employers. 3. Detailed Case Notes – paper or on-line statements by the case manager that identifies a participant's status, the date on which the information was obtained and the case manager who wrote the case note and is accurate for the client's period of participation. Supplemental Only

Attachment E
Guidelines – Registration, Customer Reporting, Data Validation and Performance

The purpose of this document is to provide an easy-to-use reference tool for case mangers laid out in a question and response format. The reference tool helps explain the correlation between eligibility, customer reporting, data validation, and performance in Indiana's integrated workforce development system.

1. **Can anyone receive services at any WorkOne Center?**
   Yes. Universal access for all is a cornerstone of Indiana's workforce development system. Any individual may receive Core Services in any WorkOne Center within the State

2. **What are the ways an individual can access the workforce system?**
   Individuals may access workforce system information in either a physical location (such as a WorkOne Center) or remotely through the use of electronic technology. These individuals are *helping themselves* and are *accessing core, basic workforce information*. The customer reporting term for this is: **Self-Service/ Informational Core Services.**

   WorkOne staff can also provide core services to customers through one-on-one interaction, workshops, or other group settings. The customer reporting term for this is also: **Self-Service/Informational Core services.**

3. **What are Core services? /What are the two types of Core services?**
   The Self-Service and Informational Core services referenced earlier are services provided through readily available workforce information that is designed to inform and educate customers about the labor market, their employment strengths and weaknesses, and the range of services appropriate to their situation; and that do not require *significant staff involvement* with the customer in terms of resources or time.

   Informational activities in a workforce development setting may include both **self-service** and **staff-assisted core services;** however, staff-assisted core services do require *significant staff involvement*. *Significant staff involvement* in a workforce development setting is assistance provided by staff that involves an individual *assessment* of the customer's skills, education or career objectives.

4. **When do customers need to be registered into the customer case management information system (TrackOne)?**
   Registration is an information collection process that documents a determination of eligibility. The information may be collected through electronic data transfer, personal interview, or a customer's application.

   Customers who are interested in receiving WorkOne services begin by providing personal information. This personal information is collected for Equal Opportunity (EO) purposes. The data collected includes: first name, last name, social security number, veteran status, employment status, date of birth, gender, race, ethnicity, and disability status (10 Demographic Elements**).** Collecting the 10 demographic elements begins when the customer receives a self-service/ informational core service. Indiana calls this series of services ***Initial Intake*** (see DWD Policy 2010-13, Change 1 entitled, "WorkOne Customer Flow" for additional information).

5. What types of services are provided after registration?

When determining what type of service has been provided for customer reporting purposes, the length of time WorkOne staff spends with a customer is not the determining factor. The critical factor is if the staff member *assessed the customer's skills, education or career objectives and therefore provided significant staff involvement.* Information concerning the types of services which may be provided is outlined:

A. Staff-Assisted Core Services

Once significant staff involvement has occurred, the WorkOne staff person has determined the customer needs additional services to be "job ready." A number of other activities occur concurrently. The WorkOne staff member fully completes the on-line application in Indiana's customer case management system (i.e. enrolls the individual); initially determines the types of services needed by the customer to be "job ready" and then determines eligibility for the programs from which the customer needs services. A customer who receives staff-assisted core services is included in performance measures calculations (the type depends upon the funding stream used to fund the service). Indiana calls this series of services ***Informational Interview*** (see DWD Policy 2010-13, Change 1 entitled, "WorkOne Customer Flow" for additional information).

B. Intensive Services are available to employed and unemployed WIA Adults and Dislocated Workers, including Trade Adjustment Assistance eligible customers, who have been determined to need such services. Types of intensive services, include but are not limited to, comprehensive and specialized assessments of the skill levels and service needs of customers which may include diagnostic testing; the development of an individual employment plan which identifies employment goals and achievement objectives; counseling and career planning; work experience and short-term prevocational services. **WorkOne staff must make sure to accurately record the funding stream for the intensive services provided to a customer.**

C. Training Services: these are services that include, but are not limited to occupational skill training, on-the-job training or other similar form of training.

6. May a customer be co-enrolled into multiple funding sources?

Yes. Customers shall be co-enrolled in all funding streams for which they are eligible and from which they need services. Co-enrollment is not automatic – customers must need the service paid for by the funding source. Funding sources for co-enrollment (when eligibility permits) includes: Wagner-Peyser, WIA Adult, WIA Dislocated Worker, Trade Act, VETS, and WIA Youth. The needs of the customer may change during the customer's period of participation and the customer may need to be co-enrolled in additional funding sources during their period of participation. A customer co-enrolled in multiple funding streams is entered into each funding stream's performance measure calculation.

7. How are TAA Clients included?

TAA clients also undergo a progression of services. Services begin with the TAA Orientation session. The TAA Orientation session may be accomplished in a group or in a one-on-one session. In either case, the TAA Orientation Core Service must occur and be recorded in the participant case management system prior to delivering any other TAA service or benefit.
Registration follows Orientation and is a one-on-one session with the case manager. At registration, an initial assessment occurs with the case manager determining the types of services needed by the client and an individualized employment plan is jointly developed. Also at registration, TAA clients are co-enrolled into all programs that the customer is eligible for including WIA (Adult & Dislocated Worker) and Veterans services.

All TAA clients receive Employment and Case Management services. These services include comprehensive assessment, the development of an individual employment plan (ACP), the provision of information on training, financial aid, labor market information, career counseling, and short-term prevocational services. Upon determination that the six criteria for TAA-funded training have been met, the TAA client may access training services that include, but are not limited to, remedial training (basic skills), occupational skills training, on-the-job training and customized training.

8. What are the different types of performance?

For Workforce Investment Act, Wagner-Peyser, TAA and other partner programs, staff must learn to distinguish customers who need to be included in the Common Measures *customer counts* from customers who need to be included in *performance calculations*.

A. Customer Counts – includes all customers who have been determined eligible and receive a service (including self-service and informational activities) either in a physical location (such as a WorkOne Center) or remotely through electronic technologies. The individual is now a "customer" and "a period of participation (POP)" has commenced. The funding stream used to provide the service identifies how the customer is counted (i.e. as a Wagner-Peyser-funded customer count, Trade-funded customer count or WIA-funded customer count). These results are used to tell Congress and the general public the number of customers impacted by federal workforce development funding.

B. WIA Performance Calculations – includes all customers who receive a staff-assisted core, intensive or training service funded by WIA. The results from performance calculations are used to measure how well the workforce development system performed.

C. Wagner-Peyser Performance Calculations – includes all customers who receive any Wagner-Peyser funded services and who subsequently exit the program. Customers who are employed at the point of first service are excluded from the measures.

D. TAA Performance Calculations – includes all TAA customers who have been determined eligible for TAA services and received at least one TAA-funded service.

9. When will the services provided to a customer affect performance?

The determination on when to include a customer in the participant reporting system and the performance measure calculation is based on whether the service, staff, facility or activity was funded in whole, or in-part, by WIA, Wagner-Peyser, TAA or partner programs.

Example: a customer who only receives self-service/informational core services funded by Wagner-Peyser, WIA and TAA will be counted as Wagner-Peyser, WIA and TAA *customers* and included in Wagner-Peyser *performance*.

Example: a Wagner-Peyser-funded staff-assisted core service would not place the customer in the WIA performance standard calculation; while a WIA-funded staff-assisted core service would do so.

10. What is the relationship between Core Services, Funding and Performance?
The chart below shows the relationship between core services, funding streams and performance.

Relationship Chart between Funding and Performance

	WIA-Funded Service(s) Provided	**Wagner-Peyser-Funded Service(s) Provided**	**TAA-Funded Service(s) Provided**
Self-service/ Informational Core Services	Not counted in WIA performance calculations (only included in customer counts) (10 data elements are entered into customer case management system)	Counts in Wagner-Peyser performance calculations (also included in customer counts)	TAA does not fund this service
Staff-assisted Core Service	Counts in WIA performance calculations (also included in customer counts) (full application entered into customer case management system)	Counts in Wagner-Peyser performance calculations (also included in customer counts)	TAA does not fund this service

11. Are there any examples that reflect when an individual needs to be enrolled?
The following are examples that may occur in the delivery of services at a WorkOne and are presented to illustrate the concept of staff involvement. The examples do not cover every situation that WorkOne staff may encounter but they can be used to determine the level of staff involvement that will trigger enrollment and a customer's inclusion in performance calculations.

Scenario 1
An individual enters the WorkOne believing s/he can access all government services. The individual asks for directions to the Bureau of Motor Vehicles. The receptionist gives the information and the individual leaves.

Response: The individual is not a customer and will not be counted toward performance measures. The information sought by the individual did not directly relate to the services provided by the WorkOne or the workforce investment system so nothing is required to be entered into any system.

Scenario 2

An individual goes into a WorkOne Center looking for information on the availability of jobs in the advanced manufacturing industry. The WorkOne staff member asks the individual *several* questions to determine the individual's previous work experience, education, and training experience in the advanced manufacturing industry. The WorkOne staff member assists the individual register into Indiana Career Connect and provides the individual with local occupational and economic trend information.

Response: The individual received significant staff-assisted core services and must be registered into the customer case management system. The staff member performed an assessment of the individual's work readiness for employment in the local area and assisted in the individual's job search. The individual is included as a Wagner-Peyser Act and WIA customer, and is included in Wagner-Peyser Act and WIA performance counts and performance calculations.

Scenario 3

An individual goes to the local library and accesses Indiana Career Connect using his/her account identification that was established with the workforce investment system to log on to the computer. S/he performs a job search and sends his/her resume in response to a job listing for which s/he believes s/he qualifies.

Response: The individual is a participant as s/he has used workforce investment system services to assist in a job search. S/he is included as a Wagner-Peyser and WIA participant, but not included in the WIA performance measures calculation because the participant received only self-services. This person is counted in the Wagner-Peyser performance calculations.

12. What are the sources used for validating customer information?

Self-Attestation: this occurs when a customer states his or her status for a particular data element, such as pregnant or parenting youth, and then signs and dates a form acknowledging this status. The key elements for self-attestation are (a) that the customer identifies his/ her status for permitted elements and then (b) **signs and dates** a form attesting to this self-identification. This form can be in a case file or scanned into the system. For data validation purposes, data entered into the case management system along with a scanned signature form does not meet this requirement; the entire signed application must be scanned-in to meet this requirement.

Case Notes: refers to either paper or electronic statements by the case manager that identifies, at a minimum, the following: a customer's status for a specific data element, the date on which the information was obtained, and the case manager who obtained the information.

State Management Information System (MIS): refers to specific, detailed information that is stored in Indiana's customer case management information system and supports an element. An indicator, such as a checkmark or radio button on a computer screen, is not an acceptable source in and of itself. For example, state MIS is acceptable source documentation for "date of first training service." To be an acceptable source to validate "date of first training service," in addition to the date of first training, the state MIS should have information about the type of training and the organization that provided the training. This detailed information makes valid source documentation and makes it unnecessary for such states to validate this data element in local offices.

Cross Match: requires staff personnel to find detailed supporting evidence for the data element and evidence must be a part of the case file. An indicator or presence of a Social Security Number (SSN) in a non-WIA database is not sufficient evidence. For example, Temporary Assistance to Needy Families (TANF) participation can be determined by a cross-match with the state's public assistance database. It is not sufficient to find that the sampled SSN is present in the public assistance database; WorkOne staff must also include supporting information such as dates of participation and services rendered in the case file.

13. What are the rules for data validation?

The U. S. Department of Labor provides two rules concerning validating data:

Match	The data element being validated must be the same as the data in the source document. For example, the data element being validated in the customer's date of birth (July 1, 1975), then the source documentation must also have July 1, 1975 as the birth date.
Support	The data element being validated must be supported by the data in the source document. To support the data being validated, the source documentation must provide evidence that the data it contains is correct. For example, source documentation is used to support youth who needs additional assistance because validators must interpret policy and determine if the documentation supports that policy.