

WORKFORCE West Virginia Guidance Notice 1-08

Date Issued: September 23, 2008

Subject: Participant File Maintenance Requirements and Instructions

Effective Implementation: September 23, 2008

Purpose: To provide information and instruction to ensure the accuracy of reported information, with an emphasis on the importance of complete information for monitoring and improving program results throughout the state workforce development system involved with the following programs: Workforce Investment Act (WIA) Title I-B, Workforce Investment Act of 1998 Title 1-D National Emergency Grants, the Wagner-Peyser Act, activities authorized under chapter 41 of title 38, United States Code (Local Veterans Employment Representative [LVER] and Disabled Veteran Outreach Program Specialist [DVOPS]), Trade Adjustment Assistance (TAA), and National Farmworker Jobs Program (NFJP).

Background Information: Recent statewide data validation audits conducted by **WORKFORCE West Virginia** staff resulted in findings related to participant file maintenance being incomplete. In addition, the state was cited for findings that included no documentation of WIA eligibility, missing files and lack of file organization. The state, as well as the U.S. Department of Labor, has identified this as an internal weakness in the workforce development system. To address this concern and to meet WORKFORCE West Virginia's goal for capturing accurate and reliable data, the development and implementation of participant file maintenance process is required.

Information Guidance: Categories and timeframes identifying which participant files are affected are as follows:

- **New participants registered in WIA on or after July 1, 2008:** All new file maintenance requirements which includes two-divider folders, file content and structure, document labeling apply to these files.
- **Participants exited prior to July, 2008:** No changes required. **NOTE: folders not required to meet new file maintenance procedure; however, documentation must follow file format and must meet other data validation requirements.**

All of the affected participant files must comply with the new file maintenance by June 30, 2009.

Four categories make up the file structure; they are as follows:

- **Section I – Eligibility and Intake:** This section will consist of intake forms, eligibility documentation checklist, proof of residence, citizenship/alien status, birth date, selective service registration, social security card/number, DD214, cash public assistance (TANF or SSI), food stamps, (appropriate staff should make a **MACC case note-- “cross match with other state agency systems to verify eligibility of person’s participation in various programs”**. **The original documentation can be found in the participate file located in the One-Stop.** Screen print the MACC notation and forward along with the other documentation to the provider.), etc.

- **Section II – Activities:** This section will consist of individual employment plans, ITAs, assessment results, authorization for release of information, supportive services authorization, Mid-Atlantic Career Consortium (MACC) screen prints which will include: date of WIA registration, date of first intensive service, date of first training service, etc.
- **Section III – Exit and Post-Program:** This section will consist of date of WIA exit, employed 1st quarter after exit, source of supplemental data, training-related employment, employed 3rd quarter after exit, certificate and/or credential/diploma/degree attained and other reasons.
- **Section IV – Case Notes:** This section will consist of a hard copy of case notes from the MACC and any hand written case notes.

The three required labeling categories are as follows:

- Eligibility and Intake = E
- Activities = A
- Exit and Post-program = XP

U.S. Department of Labor assigns a number to each element. This number will be part of a code to label the document(s) used to validate an element. The number will be the same for the same element under the different cohorts (Adult = A; Dislocated Worker = DW; Youth = Y; State Set Aside Adult = SSA; State Set Aside Dislocated Worker = SSDW; State Set Aside Youth = SSY; State Set Aside Incumbent Worker = SSIW. **NOTE:** not every document used for eligibility will have a data validation label. Eligibility is separate from data validation. Some documentation will be the same. If an item is used for eligibility and data validation, there is no need to have two copies in it. File it for eligibility as you normally would, and label it for data validation.

Label definitions and examples follow:

Adult:

AE3:

A= Adult
E= Eligibility
3= Date of Birth

AA66:

A= Adult
A= Activities
66= Date of First Intensive Service

AXP84:

A= Adult
XP= Exit and Post-Program
84= Employed in 1st Quarter after Exit Quarter

Note: Numeric values are assigned according to the Data Reporting and Validation System (DRVS) field numbers.

Training and Technical Assistance: Workforce Investment Boards and **WORKFORCE West Virginia** directors and managers are encouraged to request technical assistance on validation procedures by contacting One-Stop Field Operations Division.

Action Required: Workforce Investment Board Directors and WORKFORCE West Virginia Directors are requested:

- To distribute this guidance letter to the appropriate staff.
- To read U.S. Department of Labor Training and Employment Notice No. 9-08.
- To maintain a log of staff training and technical assistance requests.
- Immediate implementation is required on the file maintenance process for the appropriate timeframes.
- Provide a weekly file maintenance progress status update to Workforce Investment Board liaison, immediate manager and/or supervisor. Liaison and/or manager will then provide a monthly update to the One-Stop Field Operations Director.

Contact:

One-Stop Field Operations Division
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Charleston, West Virginia 25305-0112

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with the subject line *Data Validation*.