



## WORKFORCE West Virginia One-Stop Field Operations Guidance Notice No. 02-07

To: One-Stop Field Operations Staff  
State-Set-Aside Grantees  
Employment Services Division  
Workforce Investment Board Directors

From: Stephen P. Dailey

**Subject:** WIA/State-Set-Aside Participant Record Keeping Requirements and Instructions

**Effective:** December 19, 2007

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### **Purpose:**

The purpose of this guidance is to establish a more uniform record keeping system for participant files and to comply with the state's data validation requirements, WORKFORCE West Virginia is implementing participant record keeping requirement that include the type of folders, file content, structure guidelines, and labeling of folders requirements.

Effective December 2007, WIA Adult, Dislocated Worker, Youth, and State-Set-Aside participant records will be set up, maintained, and stored in 2-divider, press board folders. Each contractor will be responsible for purchasing these folders in an amount sufficient to transfer all active (*that is, active participants as of July 1, 2005 and participants newly enrolled between July 1, 2005 and current program year and future program years*) participant files to the new folders.

### **Timeframes:**

Staff will use the three (3) timeframes given below to identify which participant files are affected by the new record keeping requirements and what changes must be implemented.

1. **Participants active in WIA on or after July 1, 2005** – All new record keeping requirements (New file folders, file structure, document labeling, etc.) apply to these files.
2. **Participants exited April 1, 2003 – June 30, 2005** – Transfer of records to new folders and the new file structure/format are not required. These files must meet other data validation requirements including: One (1) signed and dated Intake form in the file, data validation labels properly placed on documents and forms according to the data validation items on the *Participant File Structure Checklist*.
3. **Participants exited prior to April 1, 2003** – No changes required.

## **File Structure:**

- **Section I – Eligibility/Intake**
  - This section will consist of: intake form; eligibility documentation checklist; proof of residence; citizenship/alien status; birth date; selective service registration; social security card/number; cash public assistance (TANF or SSI); food stamps; individual/family income; individual/family size; dependents; individuals with disability; offender; homeless; veteran (DD214); employment status.
  
- **Section II - Activities**
  - This section will consist of: individual employment plan; ITA's; assessment records; authorization for release of information; supportive services authorization/verification of cost; MACC screen prints which will include: date of WIA registration, date of first intensive service, date of first training service, adult education/basic skills and/or literacy activities, on-the-job training, occupational skills or skills upgrading/retraining and /or workplace training; equal opportunity form.
  
- **Section III – Exit and Post-Program**
  - This section will consist of: date of WIA exit; employed 1<sup>st</sup> quarter after exit; source of supplemental data; training-related employment; employed 3<sup>rd</sup> quarter after exit; certificate/credential/diploma/degree attained; other reasons for exit;
  
- **Section IV – Case Notes**
  
- **Section V – Other Records**

## **Labeling Requirements:**

- The US Department of Labor (USDOL) assigns a number to each element. In West Virginia, this number is used as 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).
  
- Not every document used for eligibility will have a data validation label on it. Eligibility is separate from data validation. Some documentation may be the same. If an item is used for eligibility and data validation, there is no need to have two (2) copies of it. File it for eligibility as you normally would, and label it for data validation.
  
- Below are the three (3) categories that a participants records will be labeled for data validation:
  - Eligibility/Intake = **E**
  - Activities = **A**
  - Exit and Post-program = **XP**

**Training and Technical Assistance:**

- Staff is encouraged to request technical assistance on file maintenance procedures by contacting your immediate supervisor and/or manager.

**Action Required:**

- Directors and managers are requested:
  - To distribute this guidance notice to appropriate staff.
  - To maintain a log of staff training and send technical assistance request to Stephen P. Dailey, Director, One-Stop Field Operations Division.

**Inquiries:**

- Contact the One-Stop Field Operations Division, Building 4, Room 112, 112 California Avenue, Charleston, West Virginia 25305-0012. Phone (304)558-1138 or email Zena Harris, [zharris@workforcewv.org](mailto:zharris@workforcewv.org), with subject line File Maintenance.