

***Workforce Investment Act (WIA) Title 1B***  
***Youth Program***  
***Guide to Participant Case File Documentation***



***Department of Workforce Development***  
***Division of Employment and Training***  
***August 2011***

## WIA Youth Program Participant Case File Documentation

The Automated System Support for Employment and Training (ASSET) system is Wisconsin's WIA Title 1, Title 3 and Trade Adjustment Assistance (TAA) reporting system. To the extent possible, case managers should use ASSET to its fullest extent as both a reporting and a case management tool. The need for locally retained documents that cannot be reproduced or easily entered into the system will never be completely removed. However, to reduce duplicate reporting, minimize local storage requirements, facilitate staff file reviews, and validate participant data, there are a number of items that can, and should be reported in ASSET.

\* Data elements subject to data validation.

| Participation Requirement/<br>Data Element Validation        | Acceptable Documentation/Verification  |
|--|--|
| Local Application Form                                       | <ul style="list-style-type: none"> <li>Signed and dated local application form</li> </ul>  |
| Equal Opportunity (EO) Notification and Grievance Procedures | <ul style="list-style-type: none"> <li>WDB-issued statement with a notification about the participant's rights, how to file a grievance, and about assistance available for handicapped persons.</li> <li>Participants must sign that they have received copies of the EO notification and grievance procedures, and these signed documents must be in each participant file.</li> </ul>   |
| Release of Information Authorization                         | <ul style="list-style-type: none"> <li>Statement authorizing release of a participant's personal information to other providers on a need-to-know basis. Statement signed and dated by participant and clearly indicates information to be released, to whom, and effective dates. The participant is provided a copy and a copy is retained in case file.</li> </ul> <p>This need not be a stand-alone document – may be combined with other forms in use (e.g., local application form).</p> |

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| Veteran Status*<br>(Older Youth)   | <ul style="list-style-type: none"> <li>• DD-214 form (military separation/discharge papers)</li> <li>• Other military documents</li> <li>• Verification from Local Veterans Employment Representative (LVER) or Disabled Veterans Outreach Program (DVOP) staff</li> <li>• Letter from Veteran's Administration</li> </ul> <p>Otherwise, assist veteran with obtaining the DD-214 form (see <a href="http://dva.state.wi.us/WebForms/WDVA_1045_Request_for_Release_Discussion_Veterans_Records.pdf">http://dva.state.wi.us/WebForms/WDVA_1045_Request_for_Release_Discussion_Veterans_Records.pdf</a>)</p> |
| Employment Status at Participation*                                      | <ul style="list-style-type: none"> <li>• Pay stub showing current employment</li> <li>• Pay stub showing last date of employment if not employed at participation</li> <li>• Employer statement or telephone verification</li> <li>• Applicant statement</li> <li>• Case notes</li> </ul>  |
| School Status at Participation*  | <ul style="list-style-type: none"> <li>• Diploma/GED certificate/transcript</li> <li>• Attendance record</li> <li>• Current school schedule</li> <li>• Dropout letter</li> <li>• Applicant statement</li> <li>• Documentation from school</li> <li>• WIA registration form (signed and dated)</li> <li>• Applicant statement</li> </ul>  |
| Literacy/Numeracy Level*<br>(Out-of-School/Basic Skills Deficient Youth) | <ul style="list-style-type: none"> <li>• Test records (test, test date(s) and scores)</li> <li>• Case notes documenting the necessary details for each element of testing</li> <li>• Case notes detailing the participant's progress</li> <li>• School records</li> </ul>  |

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|---|---|
| Assessment  | <p>Documentation of assessments performed must be maintained in the case file and the results of assessments reported in ASSET. Documentation may be from an authorized 3<sup>rd</sup> party (e.g., DVR, other vocational assessments, etc.). Assessment elements include:</p> <ol style="list-style-type: none"> <li>1. Prior Work Experience – obtained by interview; participant statement</li> <li>2. Basic Skills – results of basic skills tests/assessments</li> <li>3. Occupational Skills – skill assessments, work and life experience, training certificates, educational records, participant statement</li> <li>4. Interests - participant statement, formal occupational interest assessment</li> <li>5. Aptitudes and interest in Nontraditional Occupations - participant statement, work and life experience, educational records, formal occupational interest assessment</li> <li>6. Aptitudes - work and life experience, educational records, formal occupational aptitude assessment</li> <li>7. Employability – formal or informal assessment, participant self-identification of barriers</li> <li>8. Supportive Service Needs – formal or informal assessment, participant self-identification, documentation of income</li> <li>9. Developmental Needs – formal and informal assessments, work experience, educational records</li> </ol> |

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| Individual Service Strategy (ISS)                     | <p>An Individual Service Strategy (ISS) developed for WIA or another program. The ASSET Employability Plan or a locally developed format is acceptable. However, any format used must include the following elements:</p> <ol style="list-style-type: none"> <li>1. Is based on the results of assessment - the ISS should include activities and services to address issues identified by the assessment.</li> <li>2. Is jointly developed by the case manager, the youth and, for younger youth, the parent/legal guardian - statement or other evidence that ISS was jointly developed and agreed to by the participant and the case manager; is signed and dated.</li> <li>3. Identifies age-appropriate career goal(s) for the participant - primary and secondary goals are identified.</li> <li>4. Appropriate achievement objectives - interim objectives and planned outcomes including who, what, when, where and how are identified.</li> <li>5. Appropriate combination of services and a schedule of activities to achieve the goals - service strategy identifies activities, planned and actual begin and end dates, service provider; services identified in ISS are the same as those recorded and tracked in ASSET.</li> <li>6. Identifies a plan for year round services.</li> <li>7. Is a working tool that documents an ongoing strategy and is regularly updated - updates are to be made as required by local policy or as warranted by changes to the plan or the participant's circumstances.</li> <li>8. Includes skill attainment goals - the <i>Manage Employability Plan</i> function in ASSET is used to record and track skill attainment goals.</li> <li>9. Identifies/includes non-WIA funded services that are part of the strategy to address needs and achieve goals.</li> </ol> |

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| <p>Skill Attainment Goals</p> <ul style="list-style-type: none"> <li>• Goal Type*</li> <li>• Date Set*</li> <li>• Attainment of Goal*</li> <li>• Date Attained*</li> </ul> <p>(Younger Youth)</p> | <p>Assessment results document the individual's need for the skill goal, and are identified (<i>ASSET - Comments section or case notes</i>). Skill goals are objective and measurable. The services the youth received to assist them in attaining goals are documented (<i>ASSET service screens and/or case notes</i>). If the information listed below is not fully documented in ASSET, then the following information must be present in the participant's file:</p> <ul style="list-style-type: none"> <li>• Test records</li> <li>• Transcripts, certificates, diploma</li> <li>• Verification from school or employer</li> <li>• Case notes</li> </ul>  |
| <p>Non-Traditional Occupations (NTO) Orientation</p>  | <p>Evidence that participant has received information or materials orienting them to non-traditional occupations (what NTOs are and how to access them).</p> <ul style="list-style-type: none"> <li>• Attestation by case manager that this orientation was provided (<i>ASSET - Manage Programs</i>)</li> <li>• Statement from participant that they received this orientation</li> <li>• Evidence of attendance at group orientation activities or individual service noted in case notes</li> </ul>  |
| <p>Case Notes</p>   | <p>Record participant's progress toward reaching goals, document need for and the delivery of additional services. Document contacts with participant and report any new information pertaining to participant's employability. Entries must be made at regular intervals during customer's participation. Document contacts, events, services, etc.</p> <ul style="list-style-type: none"> <li>• Case notes in ASSET</li> </ul>  |
| <p>Youth Program Elements*</p>  | <p>In addition to reporting begin and end dates of services in ASSET, participation in program activities must be documented in the case record. At a minimum, this documentation should include remarks in ASSET "Comments" fields or in case notes. Reference should be made to start and end dates, progress made, issues encountered and outcomes related to services provided. Some services, e.g., training, work experience and supportive services will require additional documentation including payment vouchers, time sheets, mileage records, receipts, worksite agreements, etc.</p> <ul style="list-style-type: none"> <li>• Activity sheets</li> <li>• Sign-in sheets</li> <li>• Attendance record</li> <li>• Service provider contract</li> <li>• Work experience agreement/On-the-Job (OJT) contract</li> <li>• Case notes</li> </ul> |

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|--|---|
| Date of First Youth Service*<br>(Other than design framework)                                | <ul style="list-style-type: none"> <li>• Case notes</li> <li>• ASSET</li> </ul>   |
| Planned Gap in Service   | <ul style="list-style-type: none"> <li>• Training class schedule indicating date training will begin</li> <li>• Documentation from training provider</li> <li>• Letter from physician or other health care professional</li> <li>• Documents that describe the reason for the move (out of the area) and expected date of return</li> <li>• If move is result of military service, notification from armed forces branch requiring the move</li> </ul>  |
| Type of Recognized Credential*<br>(Older Youth)  | <p>Must document program was completed <u>and</u> diploma/degree earned</p> <ul style="list-style-type: none"> <li>• Diploma, certificate, transcript</li> <li>• Official communication from training provider - must include type of degree/diploma, date awarded, institution that awarded degree/diploma, participant's name, and name (including signature), title and phone number of individual providing information</li> <li>• License (regular driver's license is excluded)</li> <li>• Case notes</li> </ul>  |
| Program Exit<br>Exit Date*   | <ul style="list-style-type: none"> <li>• Case notes</li> <li>• WIA status/exit forms</li> <li>• ASSET</li> </ul>  |
| Other (Exclusionary) Exit*<br>(At time of exit or during 3 quarter<br>period following exit) | <p>Specific documentation of exit reason if exit is due to death, health/medical, family care, relocated to mandated residential program, incarceration or military reservist called to active duty</p> <ul style="list-style-type: none"> <li>• Obituary</li> <li>• Media article or public announcement listing the name of the participant and describing the significance of the current health condition; must include name of medium in which published and date of publication</li> <li>• Letter from physician/medical facility</li> <li>• Hospital or other medical report</li> <li>• Benefit letter (SSI/SSDI)</li> </ul> |

| Program Completion/<br>Data Element Validation  | Acceptable Documentation/Verification  |
|---|--|
| Other (Exclusionary) Exit* - Continued<br>(At time of exit or during 3 quarter period following exit) | <ul style="list-style-type: none"> <li>• Social Service records</li> <li>• Vocational Rehabilitation letter/statement</li> <li>• Worker's Compensation records/statement</li> <li>• Letter from family member</li> <li>• Military activation notice</li> <li>• Verification from criminal justice system/court records</li> <li>• Applicant statement</li> <li>• Co-habitation agreement</li> <li>• Case notes (must specify how condition was determined, who reported it, contact information for follow-up and validation purposes, and date of contact)</li> </ul> |
| School Status at Exit*  | <ul style="list-style-type: none"> <li>• Transcript</li> <li>• Diploma/GED</li> <li>• Notice from school</li> <li>• Case notes</li> <li>• Certificates</li> </ul>  |
| Follow-up Services*   | <ul style="list-style-type: none"> <li>• Copies of follow up letters, materials, etc.</li> <li>• Activity sheets, attendance rosters</li> <li>• Information from employer</li> <li>• Receipt for follow-up support services</li> <li>• Case notes (including "attempts to contact")</li> <li>• Reported in ASSET under Manage Follow-ups (<i>Follow-up Service screen</i>)</li> </ul>  |
| Attained High School Diploma, GED or Certificate*<br>Date Attained*                                   | <ul style="list-style-type: none"> <li>• Transcript (must indicate diploma/GED was conferred)</li> <li>• Diploma/GED</li> <li>• Notice from school (must include date awarded, name of institution, participant's name, and name, title and phone number of individual providing information)</li> <li>• Certificates</li> </ul>   |

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|--|--|
| Youth Placement Information*<br>Youth Retention Information* | <p>Youth who are in employment (including military) or enrolled in post-secondary education, advanced training, occupational skills training, apprenticeship training in the first quarter after exit.</p> <ul style="list-style-type: none"> <li>• College or university records</li> <li>• Military service records</li> <li>• Transcripts</li> <li>• Registration forms</li> <li>• Verification from employer</li> <li>• Apprenticeship verification</li> <li>• Case notes</li> </ul>   |
| Supplemental Data  | <ul style="list-style-type: none"> <li>• Survey or telephone response from participant accompanied by written document such as W-2, pay stub(s), or 1099 covering the pertinent performance period(s).</li> <li>• Written documentation (e-mail, letter, survey or fax) from employer. Must include dates of employment, employer's name, contact number, and name/title of the individual confirming the participant's employer. (Wage amounts are NOT required for supplemental data.)</li> <li>• For self-employed individuals:<br/>             Written verification from major clients<br/>             Wisconsin State Tax Form PRA-012 (Premier Resort Area Tax Return)<br/>             Wisconsin State Tax Form ST-12 (Sales and Use Tax Return)<br/>             Wisconsin Form EX-012, Local Exposition Tax Return<br/>             Wisconsin Form S-220a, Schedule P (Attachment to Form BCR, Buyer's Claim for Refund of Wisconsin State County and Stadium Sales Taxes)<br/>             IRS Form 1040, Schedule C (Profit or Loss from Business)<br/>             IRS Form 1040, Schedule SE (Self-Employment Tax)<br/>             IRS Form 1040, Schedule E (Supplemental Income and Loss)<br/>             IRS Form 1099, Schedule C-EZ (Net Profit from Business)<br/>             IRS Form 1099-B (Proceeds from Broker &amp; Barter Exchange Transactions)</li> <li>• Verification from professional employment matching services (for example, "The Work Number")</li> <li>• Confirmation from DWS that employment was verified using FEDES Postal Service, Department of Defense or U.S. Office of Personnel Management employment data</li> </ul> <p>Other forms of verification may be acceptable; contact DWS staff for clarification.</p> |