ATTACHMENT A: SOURCE DOCUMENTATION

PY 2005 Workforce Investment Act (WIA) Revised Elements
For
Data Validation & Source Documentation Requirements

This list provides guidance to states regarding what types of source documentation are acceptable to validate key data elements related to WIA program eligibility, services and outcomes.

Please note:

- Only one of the documents listed for each element is required for validation.   For example, for element #111 Eligible Veteran Status, states only need to collect one of the listed documents such as a DD-214 **or** a cross-match with the Veterans' database.
- Documentation for eligibility and service elements is only required for participants who receive **more** than core services. Core services include self and informational services. Participants who enroll in training or other intensive services must provide the required source documents for validation purposes.
- Documentation for outcome elements is required for all participants who receive more than self-services and informational activities.
- Documentation for youth elements is required for all youth participants.
- **Elements 625-672 refer to Skill Attainment. States are required to validate the four elements for the three most recent goals set and attained. These elements are noted with an asterisk (*) on page 10, element number 50.**
- **Elements 701-743 refer to Literacy/Numeracy Gains. States are required to validate the most recent set of results for the 5 elements listed above for older and younger youth only. These elements are noted with two asterisk (**) on page 11, element number 53.**

Please note the following four general definitions for certain types of source documentation:

1. **<u>Cross-Match</u>**: A cross-match requires accessing a non-WIA MIS to find detailed supporting evidence for the data element, such as dates of eligibility determination and dates and types of services. An indicator or presence of an SSN in a non-WIA database is not sufficient evidence.

2. **<u>State MIS</u>**: Unless otherwise noted, state MIS refers to specific, detailed information, such as dates and types of services and explanations of barriers to employment that is stored in the state's information system that provides supporting evidence for the data element. An indicator, such as a checkmark, is not acceptable source documentation.

3. **<u>Self-attestation</u>**: Self-attestation occurs when a participant states his or her status for a particular data element and then signs and dates a form acknowledging this status. The key elements for self-attestation are: (a) the participant identifying his or her status for permitted elements and (b) signing and dating a form attesting to this self-identification. The form and signature can be electronic or on paper.

4. **<u>Case Notes</u>**: Case notes refer to either paper or online statements by the case manager that identify a participant's status for a specific data element, the date on which the information was obtained, and the case manager's signature.

More detailed information will be available in the WIA Data Validation Handbook.

For Technical Assistance with Data Validation please email your questions to:

Workforce Investment Act: wiata@mathematica-mpr.com

Wagner-Peyser Act funded programs: esta@mathematica-mpr.com

States and grantees can also contact their regional performance specialists for assistance.

	DATA ELEMENT	ADULT	DISLOCATED WORKER	NEG	OLDER YOUTH	YOUNGER YOUTH	Source Documentation Requirements
1	Date of Birth #102	Yes	Yes	No	Yes	Yes	Copy of I.D., Baptismal record, birth certificate, DD-214, Report of Transfer or Discharge paper, driver's license, Federal, state or local identification card, passport, hospital record of birth, public assistance/social service records, school records or ID cards, work permit, cross match with Department of Vital Statistics, tribal records
2	Veteran's Status #111	Yes	Yes	Yes	Yes	No	DD-214, cross match with veterans data
3	Employment Status at Participation #115	Yes	Yes	Yes	Yes	Yes	Pay stub, case notes showing information collected from participant

	DATA ELEMENT	ADULT	DISLOCATED WORKER	NEG	OLDER YOUTH	YOUNGER YOUTH	Source Documentation Requirements
4	Low Income #119	Yes	No	No	Yes	Yes	Alimony Agreement, applicant statement, award letter from veteran's administration, bank statements, compensation award letter, court award letter, pension statement, employer statement/contact, family or business financial records, housing authority verification, pay stubs, pension statement, social security benefits, public assistance records, quarterly estimated tax for self-employed persons, Social Security benefits, UI documents
5	TANF #120	Yes	Yes	No	Yes	Yes	Cross match with TANF public assistance records
6	Other Public Assistance Recipient #121	Yes	Yes	No	Yes	Yes	Copy of authorization to receive cash public assistance, copy of public assistance check, medical card showing cash grant status, public assistance, refugee assistance records, cross match with public assistance database
7	Displaced Homemaker #123	No	Yes	Yes	No	No	Public assistance records, court records, divorce papers, bank records, spouse's layoff notice, spouse's death record, self attestation

	DATA ELEMENT	ADULT	DISLOCATED WORKER	NEG	OLDER YOUTH	YOUNGER YOUTH	Source Documentation Requirements
8	Date of Actual Qualifying dislocation #124	No	Yes	Yes	No	No	Verification from employer, rapid response list, notice of layoff, public announcement with follow-up cross-match with UI, self attestation
9	Homeless individual and/or runaway youth #126	No	No	No	Yes	Yes	Written statements from an individual providing residence, shelter or social service agency, WIA registration form, self attestation
10	Offender #126	No	No	No	Yes	Yes	Documentation from juvenile or adult criminal justice system, documentation phone call with court representatives, WIA registration form, self attestation
11	Pregnant or parenting youth #127	No	No	No	Yes	Yes	Copy of child's birth certificate, baptismal record, observation, doctor's note confirming pregnancy, self attestation
12	Youth who needs additional assistance #128	No	No	No	Yes	Yes	See state policy and state plan, individual service strategy, case notes, WIA registration form, state MIS, self attestation
13	School Status at Participation #129	No	No	No	Yes	Yes	Applicable records from education institution (GED certificate, diploma, attendance record, transcripts, drop out letter, school documentation), WIA registration form, State MIS, self attestation

	DATA ELEMENT	ADULT	DISLOCATED WORKER	NEG	OLDER YOUTH	YOUNGER YOUTH	Source Documentation Requirements
14	Basic literacy skills deficiency (as defined in 664.205) #130	No	No	No	Yes	Yes	Standardized assessment test, school records, case notes
15	Foster Care Youth #131	No	No	No	No	Yes	Confirmation from social services agency, case notes
16	Date of Program Participation #302	Yes	Yes	Yes	Yes	Yes	state MIS information
17	Date of Exit #303	Yes	Yes	Yes	Yes	Yes	WIA status/exit forms, state MIS data, Case notes
18	Date of First Youth Service #306	No	No	No	Yes	Yes	WIA status/exit forms, state MIS data, case notes
19	National Emergency Grant Project Numbers #313a, #313b and #313c	No	No	Yes	No	No	Case notes or other file data specifying the particular layoff or emergency that precipitate enrollment. The project number for the grant(s) should be included.
20	Other reasons for exit #327	Yes	Yes	Yes	Yes	Yes	Information from partner services MIS data, WIA exit form, case notes
21	Date of First Staff Assisted Core Service #332	Yes	Yes	Yes	No	No	State MIS data
22	Date of First Intensive Service #334	Yes	Yes	Yes	No	No	State MIS data, case notes

	DATA ELEMENT	ADULT	DISLOCATED WORKER	NEG	OLDER YOUTH	YOUNGER YOUTH	Source Documentation Requirements
23	Date Entered Training #335	Yes	Yes	Yes	No	No	Cross match between dates of service and vendor training information, vendor training documentation, state MIS, case notes
24	Date Completed or Withdrew from Training #336	Yes	Yes	Yes	No	No	Cross match between dates of service and vendor training information, vendor training documentation, state MIS, case notes
25	Type of Training Service #1 #340	Yes	Yes	Yes	No	No	Vendor training documentation, certificates, state MIS data, case notes
26	Enrolled in Education #343	No	No	No	Yes	Yes	Applicable records from education institution, certifying enrollment, case notes with verification from education institution or training provider that they are enrolled in education
27	Received Educational Achievement Services #344	No	No	No	Yes	Yes	Activity sheets, sign-in sheets, attendance record, vendor contract, state MIS, case notes
28	Received Employment Services #345	No	No	No	Yes	Yes	Activity sheets, vendor contract, attendance rosters, state MIS, case notes
29	Received Summer Employment Opportunities #346	No	No	No	Yes	Yes	Activity sheets, work agreement, sign-in sheets, attendance roster, state MIS data, case notes

	DATA ELEMENT	ADULT	DISLOCATED WORKER	NEG	OLDER YOUTH	YOUNGER YOUTH	Source Documentation Requirements
30	Received Additional Support for Youth Services #347	No	No	No	Yes	Yes	Activity sheets, pay stub, sign-in sheets, attendance rosters, state MIS, vendor contract, case notes
31	Received Leadership development opportunities #348	No	No	No	Yes	Yes	Activity sheets, vendor contract, attendance roster, state MIS, case notes
32	Received follow-up services #349	No	No	No	Yes	Yes	Activity sheets, attendance rosters, receipt for follow-up support services, state MIS, case notes
33	Employed in 1st Quarter after Exit Quarter #601	Yes	Yes	Yes	Yes	Yes	UI Wage records, WRIS, supplemental data sources defined by TEGL 17-05 State MIS
34	Type of Employment Match 1st Quarter After Exit Quarter #602	Yes	Yes	Yes	Yes	Yes	Follow up services, surveys, record sharing and/or automated record matching with other employment and administrative databases, other out of state wage record systems, case notes
35	Employed in 2nd Quarter After Exit Quarter #606	Yes	Yes	Yes	No	No	UI wage records, WRIS, supplemental data sources as defined in TEGL 17-05
36	Type of Employment Match 2nd Quarter After Exit #607	Yes	Yes	Yes	No	No	Follow-up services, surveys, record sharing and/or automated record matching with other employment and administrative databases, other out of state wage record systems, case notes

	DATA ELEMENT	ADULT	DISLOCATED WORKER	NEG	OLDER YOUTH	YOUNGER YOUTH	Source Documentation Requirements
37	Employed in 3rd Quarter After Exit Quarter #608	Yes	Yes	Yes	Yes	Yes	UI wage records, WRIS, supplemental data sources as defined in TEGL 17-05
38	Type of Employment Match 3rd Quarter After Exit #609	Yes	Yes	Yes	Yes	Yes	Follow-up services, surveys, record sharing and/or automated record matching with other employment and administrative databases, other out of state wage record systems, case notes
39	Wages 3rd Quarter Prior to Participation Quarter #612	Yes	Yes	Yes	Yes	No	UI wage records, WRIS, other state wage records, federal wage databases
40	Wages 2nd Quarter Prior to Participation Quarter #613	Yes	Yes	Yes	Yes	No	UI wage records, WRIS, other state wage records, federal wage databases
41	Wages 1st Quarter After Exit Quarter #615	Yes	Yes	Yes	Yes	Yes	UI wage records, WRIS, other state wage records, federal wage databases
42	Wages 2nd Quarter After Exit Quarter #616	Yes	Yes	Yes	Yes	No	UI wage records, WRIS, other state wage records, federal wage databases
43	Wages 3rd Quarter After Exit Quarter #617	Yes	Yes	Yes	Yes	Yes	UI wage records, WRIS, other state wage records, federal wage databases
44	Type of Recognized Credential #621	Yes	Yes	No	Yes	No	Transcripts, certificates, diploma, surveys, case notes

	DATA ELEMENT	ADULT	DISLOCATED WORKER	NEG	OLDER YOUTH	YOUNGER YOUTH	Source Documentation Requirements
45	Attained Diploma, GED, or Certificate #668	No	No	No	Yes	Yes	Transcripts, certificates, diploma, letter from school system
46	Date Attained Degree or Certificate #669	No	No	No	Yes	Yes	Transcripts, certificates, diploma, letter from school system
49	School Status at Exit #670	No	No	No	Yes	Yes	Transcripts, certificates, diploma, letter from school system, case notes
50	*Goals Type *Date Goal Was Set *Attainment of Goal *Date Goal Was Attained-	No	No	No	No	Yes	Test Records, Transcripts, School/Employer Notification, State MIS, Case notes
51	Youth Placement Information #671	No	No	No	Yes	Yes	Cross match with other agencies, apprenticeship verification, military service, advanced training, post secondary education, transcripts, registration forms, community college info, employer contacts, UI. wage records, WRIS, Case notes

	DATA ELEMENT	ADULT	DISLOCATED WORKER	NEG	OLDER YOUTH	YOUNGER YOUTH	Source Documentation Requirements
52	Youth Retention Information #672	No	No	No	Yes	Yes	Cross match with other agencies, apprenticeship verification, military service, advanced training, post secondary education, transcripts, registration forms, community college info, employer contacts, UI wage records, WRIS, Case notes
53	**Category of Assessment **Type of Assessment Test **Functional Area **Date Administered Test **Educational Functioning Level	No	No	No	Yes	Yes	Test records, case notes documenting the necessary details for each element of testing. States should refer to TEGL 17-05, Attachment C for the list of approved Educational tests for Literacy/Numeracy measures. Front line staff should make sure a copy of the participant's test and scores are kept in the case file. Case notes should also detail the participant's progress. Copies of the test results and case notes should be included in the file.