



GOVERNMENT OF PUERTO RICO

Department of Economic Development and Commerce
Labor Development Program

Reference:	DDEC-WIOA-08-20
Effective:	November 9, 2020
Subject:	Case Management and Record-Keeping Policy
To:	To Local Workforce Development Boards, Mayor Boards, CGU/AJC operators, service providers, and other partners in the workforce development system.
Purpose:	The purpose of this policy is to describe and to detail the case management and record-keeping requirements in accordance with the rules and regulations of the Workforce Innovation and Opportunity Act of 2014 (WIOA).

I. DEFINITIONS:

1. **Career planning** - as defined by section 3 of the Workforce Investment and Opportunities Act (WIOA), it entails providing a client-centered approach in the delivery of services, designed to:
 - 1) prepare and coordinate comprehensive employment plans, such as service strategies, for participants to ensure access to necessary workforce investment activities and supportive services, using, where feasible, computer-based technologies; and
 - 2) provide job, education, and career counseling, as appropriate during program participation and after job placement.

For the purposes of this policy, career planning will be referred to as case management.

2. **Individual Service Strategy (ISS)** - is an individual plan for a youth which includes an employment goal, appropriate achievement objectives and the appropriate combination of services for the participant based on the objective assessment. The ISS is used as the basic instrument for the local area to document appropriateness of decisions made about the mix and combination of services, including referrals to other programs for specified activities.

3. **Individual Plan for Employment (IEP)** - is an individualized career service, under WIOA sec. 134(c)(2)(a)(xii)(II), that is developed jointly by the participant and career planner/case manager when determined appropriate by the one-stop operator or one-stop partner. This plan is an ongoing strategy to identify employment goals, achievement objectives, and an appropriate combination of services for the participant to achieve the employment goals.
4. **Participant:** a reportable individual who has received services other than the services described in item 3) below, after satisfying all applicable programmatic requirements for providing services, such as eligibility determination.
 - 1) For the Vocational Rehabilitation (VR) program, a participant is a reportable individual who has an approved and signed Individualized Plan for Employment (IPE) and has begun to receive services.
 - 2) For the WIOA title I youth program, a participant is a reportable individual who has satisfied all applicable program requirements for the provision of services, including eligibility determination, an objective assessment, and development of an individual service strategy, and received 1 of the 14 WIOA youth program elements in sec.129(c)(2) of WIOA.
 - 3) The following individuals are not participants:
 - a. Individuals in an Adult Education and Family Literacy Act (AEFLA) program who have not completed at least 12 contact hours;
 - b. Individuals who only use the self-service system.
 - i. Subject to item ii below, self-service occurs when individuals independently access any workforce development system program's information and activities in either a physical location, such as a one-stop center resource room or partner agency, or remotely via electronic technologies.
 - ii. Self-service does not uniformly apply to all virtually accessed services. For example, virtually accessed services that provide a level of support beyond

independent job or information seeking on an individual would not qualify as self-service.

- c. Individuals who receive information-only services or activities, which provide readily available information that does not require an assessment by a staff member of the individual's skills, education, or career objectives.

5. **Reportable Individual:** an individual who has taken action that demonstrates an intent to use program services and who meets specific reporting criteria of the program, including: (1) Individuals who provide identifying information; (2) Individuals who only use the self-service system; or (3) Individuals who only receive information-only services or activities.

6. **TABE** – refers to Test for Adult Basic Education which is a diagnostic test used to determine a person's skill levels and aptitudes.

II. **BACKGROUND:**

The Workforce Innovation and Opportunities Act (WIOA) promotes a client-centered case management approach to deliver program services. Case managers are the front-line staff responsible for supporting participants' educational and employment development and ensuring their successful transition to the workforce. Thus, this policy is required to ensure that case managers provide participants the necessary resources, tools, and skills to help obtain employment while considering any existing barriers. Furthermore, it outlines the process for documenting activities associated with the provision of these services.

III. **POLICY:**

A. Case Management

Case managers are vital in WIOA's service delivery system. They help guide, support, and motivate participants seeking opportunities for educational and career advancement. Case managers carry out multiple activities throughout the entire WIOA process, as described below.

1. Intake, and Enrollment

Once participants are recruited, the case manager will begin the intake and enrollment processes. During these, the local representative will determine participant eligibility, collect core identification and demographic information, and provide orientation regarding program participation and expectations. To ensure WIOA requirements are met, each case manager should know the eligibility requirements for all WIOA Title I programs and services.

2. Assessment, Development, and Implementation of an Individual Plan or ISS Strategy

All participants must have an objective comprehensive assessment, not just basic skills of their academic levels, skill levels, and service needs. The purpose of the assessment is to help individuals and career planners/case managers make decisions about appropriate employment goals and develop effective service strategies for reaching those goals. An effective assessment shall include a review of basic skills, occupational skills, prior work experience, employability, interests, aptitudes, supportive service needs, and developmental needs of such participant. **Note:** a TABE test as a stand-alone assessment is not appropriate.

Local staff using professionally developed instruments must be trained in their use and interpretation to translate the information into a successful action plan. This information, along with information about current labor market trends, should serve as a guide for determining the appropriate career or supportive services.

Adult and Dislocated Worker participants should have an Individual Employment Plan (IEP) developed jointly by the participant and the career planner/case manager. The IEP is an ongoing strategy that sets a series of objectives such as the participant's education and employment goals, the appropriate achievement objectives, and the appropriate combination of services that address barriers (see *WIOA Adult and Dislocated Worker Services*) for the participant to be successful.

Every Youth participant must have an Individual Service Strategy (ISS). The ISS is a specific ongoing plan based on the objective assessment and shall identify career pathways that include

education and employment goals. Appropriate achievement objectives and appropriate services for the youth directly linked to one or more of the indicators of performance must also be included in the ISS.

During effective case management, career planners/case managers conduct periodic reviews of actual activities in relation to participant plans to determine if progress towards successful completion is still on track and determine additional needs. Any related problems that may arise must be recorded in case notes. If obstacles are identified, note how each barrier or need will be addressed and by whom. Some obstacles may be addressed by providing applicable WIOA supportive services if allowable by the funding opportunity; however, local workforce development boards or grantees are encouraged to seek out one-stop partners and other entities that may be able to provide these services.

3. Follow-up

Case managers will also conduct follow-up services to ensure that the participant can retain employment, advance through a career or educational path, and achieve professional development. These services also provide for the progress tracking and data collection required to measure performance. Follow-up services must be available to all participants registered in the Title I program for a minimum of 12 months from the date of the last service received or immediately if the participant is not expected to receive any other services in the future. Further directives will be found in policy WIOA-07-20 *Procedure for Follow-up Services Required by WIOA for Participants of the Adults, Dislocated Workers and Youth programs*.

B. Record-Keeping and Case Notes

Essential to delivering valuable services and measuring the program's success, there must be tools to document the participant's progress. Case managers must keep participant files to maintain a complete record of all participant documentation, interactions, and activities. The files also serve as a record of accountability between parts and help provide continuity in the event of a change in staff.

The Puerto Rico One-Stop Centers use paper-based files for case record keeping. To transition into electronic-based files, the Puerto Rico Department of Economic Development and Commerce expects

to implement a configurable integration platform into their current system, the Participant Record Information System or PRIS, which will allow local case management capabilities.

Participant files (refer to appendix 1 & 2) should cover information including, but not limited to:

- Data enrollment and eligibility, such as the Application, eligibility documentation, barrier information, low-income documentation, dislocated worker documentation;
- Case management, such as assessments, testing, Individual Employment Plan or Individual Service Strategy;
- Training, such as transcripts, diplomas, degree plans, class schedule, attendance documents;
- Work experience and training, such as contracts, work permits, work evaluations, job descriptions, timesheets; and
- Case notes, including the date, description, purpose, observations, content, outcome, assessment, and plans for next steps of each meeting or conversation with the participant.

The case must note clearly show the participant's history and progress toward their goals. To ensure their quality, the following standards should be taken into consideration:

- Document each event promptly;
- Be concise and clear;
- Be detailed and specific;
- Be consistent with supporting documentation;
- Organize information in chronological order;
- Provide justifications for determinations;
- Provide potential solutions to identified problems; and
- Keep in mind that these might be subject to audits or used as evidence in court.

IV. REQUIRED ACTION:

To best serve participants, case managers must read and understand the policies and forms in this manual, as well as local policies, procedures, and

forms. Each local board shall ensure that all CGU/AJC staff, service providers, and workforce development system partners are informed of and implement this policy. Moreover, Local boards should adhere to this policy when developing their policies and procedures for case management and record keeping.

V. SEVERABILITY CLAUSE:

If any provision of this public policy is challenged by the Court and declared unconstitutional or void, such decision shall not affect, impair, or invalidate the remaining provisions of this public policy but shall be limited in effect to the provision or topic specifically addressed. The nullity or invalidity of any provision or topic shall not affect or prejudice in any way its Application or validity in any other case, except when specifically and expressly invalidated for all cases.

VI. TECHNICAL ASSISTANCE:

All local areas have support, guidance, training and technical assistance on applicable regulatory processes. For any questions related to this policy, please contact planificacion-validacion@ddec.pr.gov.

VII. EFFECTIVE:

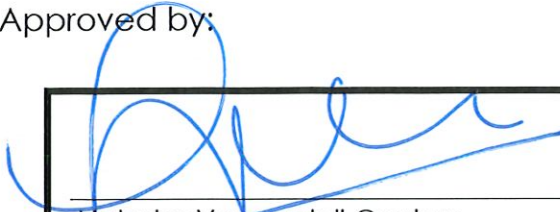
This public policy will become effective after it is approved by the Workforce Development Program Director and ratified by the Secretary of the Department of Economic Development and Commerce.

VIII. LEGAL FRAMEWORK:

- Workforce Investment and Opportunities Act (WIOA), sections 129(c)(1)(A)&(B) and 3(8)(A)&(B)
- 20 CFR Sections 678.430(a)(b)(c), 680.150(a)(b)(c), 681.580(a)&(c), 20 CFR §681.420(a)
- Training and Employment Guidance Letter (TEGL) 19-16 "Guidance on Services provided through the Adult and Dislocated Worker Programs under the Workforce Innovation and Opportunity Act (WIOA) and the Wagner-Peyser Act Employment Service (ES), as amended by title III of WIOA, and for implementation of the WIOA Final Rules." (March 1, 2017)

- TEGL 21-16 "Third Workforce Innovation and Opportunity Act (WIOA) Title I Youth Formula Program Guidance" (March 2, 2017)

Approved by:

 _____ Natasha Vazquezteill-Cordero Program Director	<u>November 9, 2020</u> _____ (Signature and date)
 _____ Manuel A. Laboy Rivera Secretary of the Department of Economic Development and Commerce	<u>11/13/2020</u> _____ (Signature and date)

Addendum 1: Workforce Innovation and Opportunities Act (WIOA) Participant Case File Documentation - Adult and Dislocated Worker Programs

Participation Requirement	Acceptable Documentation/Verification
Local Application Form	Signed and dated local application form
Equal Opportunity (EO) Notification and Grievance Procedures	- Workforce Development Board (WDB)-issued statement with a notification about the participant's rights, how to file a grievance, and about assistance available for disabled persons. - 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.
Release of Information Authorization	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 copy retained in case file. This need not be a stand-alone document – may be combined with other forms in use (e.g., local application form).
Individual with a Disability	- Letter from Drug or Alcohol Rehabilitation Agency - Medical Records - Physician, Psychiatrist or Psychologist diagnosis/statement - Rehabilitation evaluation - School records - Documentation from sheltered workshop - Social Security Administration Disability records - Social Service records/referrals - Veterans Administration letter/records - Vocational Rehabilitation letter/statement

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Participation Requirement	Acceptable Documentation/Verification
Individual with a Disability - Continued	• Worker's Compensation records/statement • Applicant statement • Case notes regarding observable condition
Veteran Status	• Other military documents • Verification from Local Veterans Employment Representative (LVER) or Disabled Veterans • Outreach Program (DVOP) staff. Otherwise, assist veteran with obtaining the DD-214 form
Employment Status at Participation	• Pay stub showing current employment • Pay stub showing last date of employment if not employed at participation • Employer statement or telephone verification • Applicant statement • Case notes
Participation Date	• Signed Application • Attendance sheets • Case notes
Date of Qualifying Dislocation and Special Response/National Emergency Grant Qualifying Employer (Dislocated Workers)	• Verification from employer • Notice of layoff • 1st Unemployment Insurance letter/statement (indicating dislocation employer) • Rapid Response List • Media article or public announcement describing the layoff; must include name of medium in which published and date of publication, along with evidence participant was employed there

Participation Requirement	Acceptable Documentation/Verification
Assessment	Assessment elements include: 1. Work History 2. Education 3. Basic Skills 4. Occupational Skills 5. Interests 6. Aptitudes 7. Aptitudes and Interest in Nontraditional Occupations 8. Employment Barriers 9. Financial Resources and Needs 10. Supportive Service Needs Note: If previous assessments are used they must contain current information and be no more than six months old.
Non-Traditional Occupations (NTO) Orientation	Evidence that participant has received information or materials orienting them to non-traditional occupations (what NTOs are and how to access them). • Attestation by case manager that this orientation was provided • Statement from participant that they received this orientation • Evidence of attendance at group orientation activities or individual service noted in case notes

Participation Requirement	Acceptable Documentation/Verification
Individual Employment Plan (IEP)	An Employment Plan developed for WIOA or another program. Any format used must include the following elements: 1. Is based on the results of assessment (the IEP should include activities and services to address issues identified by the assessment). 2. Is jointly developed (signed and dated) by the case manager and the participant (statement or other evidence that IEP was jointly developed and agreed to by the participant and the case manager). 3. The participant's employment goals (primary and secondary employment goals) are identified. 4. Appropriate achievement objectives (interim objectives and planned outcomes) including who, what, when, where and how are identified. 5. Appropriate combination of services to achieve the employment goals (service strategy identifies activities, planned and actual begin and end dates, service provider). 6. Is regularly updated (updates are made as required by local policy or as warranted by changes to the plan or the participant's circumstances). 7. Identifies/includes non-WIOA funded services that are part of the strategy to address needs and achieve goals.
Case Notes	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.
PELL/Other Financial Aid	Evidence that participant has applied for financial aid. • Documents from educational institution indicating eligibility for or denial of aid • Documentation indicating the training program does not qualify for financial aid

Participation Requirement	Acceptable Documentation/Verification
Individualized Career Services	• An Individual Employment Plan (IEP) has been developed; • Individual is in a "priority of service" category (supporting documents, e.g., proof of low-income status, public assistance receipt or basic skills deficient in case file); and • Documentation of appropriateness of the individualized career service to obtain or retain employment
Individualized Career Services Date	• Signed and dated IEP • Documentation from school or other service provider • Documents verifying activities (attendance sheets, vouchers, etc.) • Case notes
Training Services • On-the-Job (OTJ) Training • Incumbent Worker Training • Transitional Jobs • Occupational Training	Eligibility for training services is documented by: • Evidence that an interview, evaluation or assessment, and career planning have been provided; and • Staff have determined that the individual: 1. Is unlikely or unable to obtain or retain employment, that leads to economic self-sufficiency or wages comparable to or higher than wages from previous employment through career services alone; (documented in case notes) 2. Is in need of training services to obtain or retain employment that leads to economic self-sufficiency or wages comparable to or higher than wages from previous employment, through career services alone (through interview, case management, evaluation or assessment and as documented in case notes); and 3. Has the skills and qualifications to successfully participate in the selected program of training services (through interview, case management, evaluation or assessment and as documented in case notes).

Service Eligibility	Acceptable Documentation/verification
	4. Participant has selected a program of training directly linked to the employment opportunities (demand occupations) in the local area or another area in which the individual is willing to relocate (case file documents process of determining link to employment opportunities) 5. Participant has been determined to be unable to obtain grant assistance from other sources to pay the cost of training or requires WIOA assistance in addition to other grant sources (copy of documents from educational institution indicating participant's eligibility for or denial of financial aid, or documentation indicating training program does not qualify for financial aid).
Date Entered Training	• Documentation from training provider • Documents verifying activities (attendance sheets, vouchers, etc.) • Training contract • Copy of school's academic calendar • Case notes
Date Completed or Withdrew from Training	• Documentation from training provider • Copy of degree, certificate, diploma • Copy of school's academic calendar • Training contract • Case notes
Type of Training Service (OJT), incumbent worker, transitional jobs, customized,	• Documentation from training provider • Certificates • Case notes
Type of Recognized Credential	Must document program was completed and <u>diploma/degree</u> earned • Diploma • Transcript that shows a degree or diploma was conferred • Certificate • License (regular driver's license is excluded) • Official communication from training provider – must include type of degree/diploma, date awarded, institution that awarded degree/diploma, participant's name, and name, title and phone number of individual providing information • Case notes

Service Eligibility	Acceptable Documentation/verification
High Wage Training	• Other documentation from the specific training provider • Local or State labor market information if graduate placement report is unavailable • Documentation from employer (OJT and customized training) • Employability Plan reflecting "career laddering" goals, combined with wage documentation for both the short term and long term employment goals
Service Provider Documentation	• Individual Training Account (ITA) voucher • Supportive service vouchers • Case notes
Training Plan – Transitional Jobs or OJT	• Written training plan, Policy Updates or Administrator's Memos; Assurances and Certifications; Worksite Agreements • Training plan is signed and dated by participant, employer and authorized representative of WIOA service provider prior to start date
Worksite Agreement – Transitional Jobs or OJT	• Written worksite agreement/OJT contract that complies with DET requirements, Policy Updates and Administrator's Memos; Assurances and Certifications; Worksite Agreements. • Worksite agreement/OJT contract is signed and dated by participant, employer and authorized representative of WDB or WIOA service provider prior to start date.
Planned Gap in Service	• Training class schedule indicating date training will begin • Documentation from training provider • Letter from physician or other health care professional • Documents that describe the reason for the move (out of the area) and expected date of return • If move is result of military service, notification from armed forces branch requiring the move
Supportive Services and Needs-Related Payments	• Documentation of referrals to other resources (case notes; referral forms) • Documentation of need for supportive services (assessment, case notes) • Estimates, vouchers, receipts, mileage logs, etc.

Service Eligibility	Acceptable Documentation/verification
Program Exit Date	• Case notes documenting exit and reason for exit or exclusion from performance measures • For any participant exiting after the "automated exit" is implemented
Exclusionary Exit (at the time of exit or during 3 quarter period following exit)	• Specific documentation if exit reason is death, health/medical, family care, incarceration/institutionalization, or military reservist called to active duty • Obituary • 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 • Letter from physician/medical facility • Hospital or other medical report • Benefit letter (SSI/SSDI) • Social Service records • Vocational Rehabilitation letter/statement • Worker's Compensation records/statement • Letter from family member • Military activation notice • Verification from criminal justice system/court records • Applicant statement • Co-habitation agreement • Case notes (must specify how condition was determined, who reported it, contact information for follow-up and validation purposes, and date of contact)
Follow-Up Services	• Copies of follow-up letters, materials, etc. • Activity sheets, attendance rosters • Information from employer • Receipt for follow-up support services • Case notes (including "attempts" to contact)

Program Completion Validation	Acceptable Documentation/verification
Supplemental Data	• Survey or telephone response from participant accompanied by written document such as W-2, pay stub(s), covering the pertinent performance period(s). • 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.) • For self-employed individuals: - o Written verification from major clients - o State Tax Form • Verification from professional employment matching services (for example, "The Work Number") • Confirmation from DET that employment was verified using FEDES Postal Service, Department of Defense or U.S. Office of Personnel Management employment data Other forms of verification may be acceptable; contact staff for clarification.

Addendum 2: Workforce Innovation and Opportunities Act (WIOA) Participant Case File Documentation - Youth Program

Participation Requirement/ Data Element Validation	Acceptable Documentation/Verification
Local Application Form	Signed and dated local application form
Equal Opportunity (EO) Notification and Grievance Procedures	- WDB-issued statement with a notification about the participant's rights, how to file a grievance, and about assistance available for disabled persons. - 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.
Release of Information Authorization	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.

Participation Requirement/ Data Element Validation	Acceptable Documentation/Verification
Veteran Status (age 18-24)	• DD-214 form (military separation/discharge papers) • Other military documents • Verification from Local Veterans Employment Representative (LVER) or Disabled Veterans Outreach Program (DVOP) staff • Letter from Veteran's Administration
Employment Status at Participation	• Pay stub showing current employment • Pay stub showing last date of employment if not employed at participation • Employer statement or telephone verification • Applicant statement • Case notes
School Status at Participation	• Diploma/GED certificate/transcript • Attendance record • Current school schedule • Dropout letter • Applicant statement • Documentation from school • WIOA registration form (signed and dated) • Applicant statement

Participation Requirement/ Data Element Validation	Acceptable Documentation/Verification
Assessment	Documentation of assessments performed must be maintained in the case file. Assessment elements include: 1. Prior Work Experience 2. Basic Skills 3. Occupational Skills 4. Interests 5. Aptitudes and interest in Nontraditional Occupations 6. Aptitudes 7. Employability 8. Supportive Service Needs 9. Developmental Needs – formal and informal assessments, work experience, educational records

Participation Requirement/ Data Element Validation	Acceptable Documentation/Verification
Individual Service Strategy (ISS)	An Individual Service Strategy (ISS) developed for WIOA or another program. Any format used must include the following elements: 1. Is based on the results of assessment - the ISS should include activities and services to address issues identified by the assessment, appropriate services and career pathways. 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. 3. Identifies age-appropriate career goal(s) for the participant - primary and secondary goals are identified. 4. Appropriate achievement objectives - interim objectives and planned outcomes including who, what, when, where and how are identified. 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. 6. Identifies a plan for year-round services. 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. 8. Includes skill attainment goals. 9. Identifies/includes non-WIOA funded services that are part of the strategy to address needs and achieve goals.

Participation Requirement/ Data Element Validation	Acceptable Documentation/Verification
Skill Attainment Goals • Goal Type • Date Set • Attainment of Goal • Date Attained (Applies to youth ages 14-18)	Assessment results document the individual's need for the skill goal, and are identified (case notes). Skill goals are objective and measurable. The services the youth received to assist them in attaining goals are documented (case notes). If the information listed below is not fully documented, then the following information must be present in the participant's file: • Test records • Transcripts, certificates, diploma • Verification from school or employer • Case notes
Non-Traditional Occupations (NTO) Orientation	Evidence that participant has received information or materials orienting them to non-traditional occupations (what NTOs are and how to access them). • Attestation by case manager that this orientation was provided • Statement from participant that they received this orientation • Evidence of attendance at group orientation activities or individual service noted in case notes
Case Notes	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.

Participation Requirement/ Data Element Validation	Acceptable Documentation/Verification
Youth Program Elements & Most Recent Date Received Program Element	In addition to reporting begin and end dates of services, participation in program activities must be documented in the case record. At a minimum, this documentation should include remarks in the 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, timesheets, mileage records, receipts, worksite agreements, etc. • Activity sheets • Sign-in sheets • Attendance record • Service provider contract • Work experience agreement/On-the-Job (OJT) contract • Case notes
Date of First Youth Service / Enrollment (Other than program design)	• Case notes • Attendance record • Sign-in sheets
Planned Gap in Service	• Training class schedule indicating date training will begin • Documentation from training provider • Letter from physician or other health care professional • Documents that describe the reason for the move (out of the area) and expected date of return • If move is result of military service, notification from armed forces branch requiring the move
Type of Recognized Credential (Older Youth)	Must document program was completed <u>and</u> diploma/degree earned • Diploma, certificate, transcript • 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 • License (regular driver's license is excluded) • Case notes

Participation Requirement	Acceptable Documentation/Verification
Program Exit Date	• Local status/exit forms • Case notes
Exclusionary Exit (At time of exit or during 3 quarter period following exit)	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 • Obituary • 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 • Letter from physician/medical facility • Hospital or other medical report • Benefit letter (SSI/SSDI)
Exclusionary Exit - Continued (At time of exit or during 3 quarter period following exit)	• Social Service records • Vocational Rehabilitation letter/statement • Worker's Compensation records/statement • Letter from family member • Military activation notice • Verification from criminal justice system/court records • Applicant statement • Co-habitation agreement • Case notes (must specify how condition was determined, who reported it, contact information for follow-up and validation purposes, and date of contact)
School Status at Exit	• Transcript • Diploma/GED • Notice from school • Case notes • Certificates

Participation Requirement	Acceptable Documentation/Verification
Follow-Up Services	• Copies of follow up letters, materials, etc. • Activity sheets • Attendance rosters • Information from employer • Receipt for follow-up support services • Case notes (including "attempts to contact")
Attained High School Diploma or Equivalent, GED or Certificate Date Attained	• Transcript (must indicate diploma/GED was conferred) • Diploma/GED • Notice from school (must include date awarded, name of institution, participant's name, and name, title and phone number of individual providing information) • Certificates

Program Completion	Acceptable Documentation/Verification
Youth Placement Information Youth Retention Information	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. • College or university records • Military service records • Transcripts • Registration forms • Verification from employer • Apprenticeship verification • Case notes
Supplemental Data	• Survey or telephone response from participant accompanied by written document such as W-2, pay stub(s), covering the pertinent performance period(s). • 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.) • For self-employed individuals: ◦ Written verification from major clients ◦ State Tax Form(s) Verification from professional employment matching services (for example, "The Work Number") Other forms of verification may be acceptable; contact staff for clarification.