

Oklahoma Employment Security Commission



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OKLAHOMA EMPLOYMENT AND TRAINING ISSUANCE # 10-2004

TO: WIA Grant Recipients

FROM: Mike Ferguson

SUBJECT: Management Information System (MIS) Data Collection, Quality Assurance and Oklahoma Service Link Data Validation.

PURPOSE: To establish procedures for data collection and documentation to ensure quality, timeliness and integrity of WIA client data and resulting reports.

BACKGROUND: The Workforce Investment Act (WIA) of 1998; Federal Register/Vol.65, No. 156/Friday, August 11, 2000; TEGL 3-03; TEGL 12-02; TEGL 14-00, Change 1; WIA Validation Handbook and attached acceptable common documentation table for WIA programs.

POLICY: All transactions relating to WIA Program registrations shall be entered in and/or updated in the Oklahoma Service Link System (OSL) within 30 days of their respective action date. Transactions will be validated against source documentation in selected client files. These include:

- A. Program Eligibility and basic Registration elements:**
- a. Current contact information
 - b. Alternate contact information if available
 - c. Demographic information
 - d. Personal Information
 - e. Veteran Information
 - f. Employment Status
 - g. Citizenship
 - h. Dislocated Worker information
 - i. Layoff Details
 - j. Low Income information
 - k. Needs and Barriers information

B. WIA Enrollment elements:

- a. Test Information
- b. Goals and Interests
- c. Service and Training Plan
- d. Employment Plan
- e. Enrollment Note
- f. Program Outcomes

(WIA program enrollment requests must be approved or denied in Oklahoma Service Link within 45 days of the initial request)

Data Element Validation is performed by reviewing samples of participant records against source documentation to ensure compliance with Federal and State definitions. Data Validation will occur on an annual basis and must be completed within 120 days after the required annual reports or participant records (WIASRD) are submitted to ETA. Offices chosen for data element validation will be notified no more than 10 working days prior to the validation visit. A list of participant files selected for validation will be sent to the office no more than 3 days prior to the validation visit. The office chosen for validation will be expected to have available for the validator all selected participant files with eligibility, outcome, and participant characteristics documentation readily available and arranged in an orderly manner. A copy of the Oklahoma Service Link application signed by the participant must be part of the file documentation. Data elements can be divided into two categories: those associated with program eligibility and all other elements including program outcome documentation.

The USDOL Employment and Training Administration considers some data elements as critical:

- Elements used to calculate program performance outcomes
- Elements that describe program activity (eligibility, services provided)
- Elements that describe program participant characteristics (veteran status, disabilities, etc)

ETA standardized software generates a sample of participant records and data elements that the state staff will validate. The samples are randomly selected from offices within the state. Sample rates will vary depending on the number of WIA exiters. This is done to ensure that the results are statistically meaningful. Offices selected for data validation will be notified of an ensuing visit no sooner than 10 working days prior to the visit. A list of participant files that will be validated will be provided no more than 3 days prior to the visit.

The software produces worksheets based on information entered into Oklahoma Service Link. The validator then compares the worksheets against the source documentation in the sampled participant case files. ETA will establish acceptable levels of accuracy. Accuracy levels will be established in phases. Error rates collected in the second year (PY 2003) will be analyzed and will help establish standards of accuracy prior to the third year of validation.

The regulations at 20 CFR 661.120 (b) give state governments authority to establish their own

policies and guidelines relating to verifying documentation as long as they are consistent with the Act. Oklahoma's acceptable documentation guidelines are attached. The State of Oklahoma requires that applicable data element source documentation be maintained in participant case files and retained for a period of three years after the end of the exiting program year.

ATTACHMENTS: Oklahoma WIA Data Validation Documentation Guidelines

ACTION REQUIRED: Distribute to appropriate program staff and maintain as a part of your permanent files.

CONTACT: Robyn Coman at (405) 557-5318 or robyn.coman@oesc.state.ok.us

WIA Documentation Requirements

CRITERIA		MOST COMMON DOCUMENTATION	ACTION	
DATE OF WIA TITLE 1-B ENROLLMENT (documentation source is applicable to all WIA programs)	Adult and DLW's enrollment is the date they first received services other than informational or self-service. All youth receiving Title 1-B services must be registered	* Signed OSL application	Verify Date of WIA Enrollment	
			YES	NO
			Place copy of applicable documentation in file	NA
DATE OF WIA EXIT (Documentation is applicable to all WIA programs)	The last day on which WIA Title 1 or partner provided services (excluding follow-up) were received by the participant	* Copy of OSL Service and Training Plan * Case Notes * Locally designed exit form	Verify Date of WIA Program Exit	
			YES	NO
			Place copy of applicable documentation in file	NA
SOCIAL SECURITY NUMBER	Identification number assigned to individuals by the Social Security Administration	* Copy of Social Security Card * DD-214 * Passport	Verify SSN	
			YES	NO
			Place copy of applicable documentation in file	NA

WIA Documentation Requirements

CRITERIA		MOST COMMON DOCUMENTATION	ACTION	
CITIZENSHIP (Documentation is required for all programs)	U.S. Citizen	<ul style="list-style-type: none"> * Social Security Card/picture ID * Birth Certificate * U.S. Passport * Hospital Birth Record * Naturalization Certification 	Verify -Citizen or eligible to work in U.S.?	
	Non-Citizen eligible to work in the U.S.	<ul style="list-style-type: none"> * INS Form I-151, I-94, I-688A * Social Security Card stamped "Work Eligible" w/Drivers License/picture ID * Citizenship/Alien Status Authorization to Work Form * Foreign Passport stamped "Eligible to Work" 	YES	NO
			Document citizenship or eligibility to work in the U.S. (place copy in case file)	Refer to other appropriate provider
AGE/Date of Birth (Documentation is required for all programs)	Adult Older	<ul style="list-style-type: none"> * Drivers License (or picture ID) * ID Card (Federal, State or Local) or School Records/I.D. Card * Birth Certificate or Hospital Birth Record * Passport 	Verify-Age 18 or Older	
	Youth 18-21 Younger Youth 14-18 DLW no requirement		YES	NO
			Document age (place copy in case file)	NA
SELECTIVE SERVICE REGISTRATION (Documentation is required for all programs except youth under the age of 18)	* Male	<ul style="list-style-type: none"> * Selective Service Registration Letter * DD-214, Report of Transfer or Discharge * Stamped Post Office Receipt of Registration * Internet Verification/Registration (www.sss.gov) * Telephone Verification (847) 688-6888 	Verify-Registered for Selective Service	
	* Born on or after January 1, 1960 * 18-25 Years Old		YES	NO
			Document selective service registration (place copy in case file)	<ul style="list-style-type: none"> * Send to appropriate agency for registration * For males born on or after January 1, 1960, and are 26 years old but have not registered refer to the Local Veterans Representative

WIA Documentation Requirements

CRITERIA		MOST COMMON DOCUMENTATION	ACTION	
VET STATUS (Documentation sources are applicable to all WIA Programs)	Individual who served in the active U.S. military, naval or air service for a period less than or equal to 180 days, and who discharged or released from service under conditions other than dishonorable. Or met the above conditions for more than 180 days.	* DD-214 * Cross match with LVER * Cross match with veterans data base	Verify Veteran Status	
			YES	NO
			If applicable to client place copy of documentation in file	NA
UNEMPLOYED AT REGISTRATION (Documentation sources are applicable to all WIA Programs)	An individual who does not meet the definition of employed or who, although employed, has received notice of termination of employment.	* Signed copy of OSL application * Notice of termination from employer * Applicant statement * Current unemployment verification	Verify employment status a registration	
			YES	NO
			Place copy of documentation in file	Place copy of documentation in file
RECEIVING UNEMPLOYMENT COMPENSATION (Documentation sources are applicable to all WIA programs)	Authorized under State unemployment compensation laws to receive benefits	* Signed copy of OSL application * Applicant statement * Current unemployment verification	Verify receipt of UI Benefits	
			YES	NO
			Place copy of documentation in file	Place copy of documentation in file

WIA Documentation Requirements

CRITERIA		MOST COMMON DOCUMENTATION	ACTION	
INCOME (Documentation required for all clients qualifying for WIA using low income guidelines)	Low Income/Family Size (Document each applicable income source)	<ul style="list-style-type: none"> * Applicant Statement (Family Status Form) * Most recent IRS Tax Document * Public Assistance Records * Public Housing Lease (current) * Cross Match with TANF 	Verify -Low Income or Income Exempt?	
			YES	NO
			NA	
			If applicable to client document family size and income. (place copy in case file)	
	TANF/Food Stamps	<ul style="list-style-type: none"> * TW3 * Letter from FS distributing agency * Public Assistance Records * Telephone Verification 		
	Homelessness	<ul style="list-style-type: none"> * Applicant Statement * Written statement from individual providing temporary shelter or residence * Written statement from Social Service agency 		
	Supported Foster Child	<ul style="list-style-type: none"> * Court Contact Documentation * Verification of payment made of behalf of the child * Telephone verification with Child Welfare Unit 		
	General Assistance or Supplement Security Income	<ul style="list-style-type: none"> * Copy of Authorization to Receive Public Cash Assistance * Current copy of Public Assistance Check 		

WIA Documentation Requirements

CRITERIA		MOST COMMON DOCUMENTATION	ACTION	
DISABILITY (Documentation sources are applicable to all WIA Programs)	A disabled individual whose family does not meet income criteria, is considered low income <i>if the individual's own income, separate from the household's meets the income guidelines.</i>	Individuals with Disabilities * Letter from Drug or Alcohol Rehab Agency * Medical Records * Applicant Statement * Physician's Statement * Psychiatrist's Diagnosis * Social Security Disability Records * Dept of Veterans Affairs Letter/Record * Vocational Rehabilitation Letter * Workers Compensation Record * Psychologist's Diagnosis	Disability Verification	
			YES	NO
			If applicable to client place copy of documentation in file	NA
OFFENDER (Documentation sources are applicable to all WIA Programs)	An individual who is or has been subject to any stage of the criminal justice process or who requires assistance in overcoming barriers to employment resulting from a record of arrest or conviction.	* Applicant Statement * Documents from Juvenile/Criminal Justice System * Court documents * Letter of Parole * Letter from Probation Officer * Police Records	Offender Verification	
			YES	NO
			If applicable to client place copy of documentation in file	NA

WIA Documentation Requirements

CRITERIA		MOST COMMON DOCUMENTATION	ACTION	
High School Graduate or GED (Documentation sources are program specific)	High School Graduate, includes certificate of attendance or completion or GED Graduate	* Copy of Diploma or GED (youth) * Telephone verification with school (youth) * School Transcript (youth) * Signed OSL application (adult and DLW)	Verify Educational Status	
			YES	NO
			Place copy of applicable documentation in file	See criteria for School Dropout
SCHOOL DROPOUT (Documentation sources are Program Specific)	Has not received a secondary school diploma or its recognized equivalent and is not attending any school (including any alternative school whether full or part time) and is not between terms with intention of returning	* Applicable school records (youth) * Signed OSL application (Adult and DLW) * Applicant Statement (Adult and DLW) * Telephone verification with school (youth)	Verify School Dropout	
			YES	NO
			Place copy of applicable documentation in file	See criteria for High School Graduate or GED

WIA Documentation Requirements

CRITERIA		MOST COMMON DOCUMENTATION	ACTION	
BASIC SKILLS DEFICIENT (Documentation sources are specific to Youth Programs)	An individual who meets the State level definition of basic literacy skill deficient. (Grade level scores below 9.0 (8.9) are considered at or below the 8th grade level)	* Standardized assessment test * School records	Verify Basic Skills Deficient	
			YES	NO
			Place copy of applicable documentation in file	NA
HOMELESS AND/OR RUNAWAY (YOUTH PROGRAM)	One who lacks a fixed, regular, adequate nighttime residence or whose primary residence is a public or privately operated shelter for temporary accommodation or one using a public or private place not ordinarily used as sleeping accommodation for human beings.	* Written statement from individual providing residence * Written statement from a shelter * Written statement from social service agency * Signed applicant statement	Verify Homeless/Runaway	
			YES	NO
			Place copy of applicable documentation in file	NA

WIA Documentation Requirements

CRITERIA		MOST COMMON DOCUMENTATION	ACTION	
PREGNANT OR PARENTING YOUTH	An individual under 22 years of age and who is a parent or a youth (male or female) who is providing custodial care for one or more dependents under the age of 18	<ul style="list-style-type: none"> * Copy of child's birth certificate * Baptismal record * Doctor's note confirmation * Documented Case Manager Observation 	Verify Pregnant or Parenting	
			YES	NO
			Place copy of applicable documentation in file	NA
YOUTH WHO NEEDS ADDITIONAL ASSISTANCE	A youth 14-21 who requires additional assistance to complete an education program or to secure and hold employment as defined by local policy. (copy of LWIB policy must be available)	<ul style="list-style-type: none"> * Applicant Statement * Case notes * Signed OSL application 	Verify Needs Additional Assistance	
			YES	NO
			Place copy of applicable documentation in file	NA

WIA Documentation Requirements

CRITERIA		MOST COMMON DOCUMENTATION	ACTION	
RECEIVED NEEDS RELATED PAYMENTS (Adults and/or DLW in training services) OR STIPENDS (Youth in training)	For Adults and DLW's receiving payments related to the completion of training. For Youth payment used as an incentive to retain youth in a program or given upon completion of established benchmarks or upon final program completion	* receipts with case note explanation	Verify Receipt of Needs Related Payment	
			YES	NO
			Place copy of applicable documentation in file	NA
ESTABLISHED INDIVIDUALIZED TRAINING ACCOUNT (ADULT AND DLW)	An account used to pay for training needs	* Check account activity * ITA tracking form * Case Notes	Verify Establishment of ITA	
			YES	NO
			Place copy of applicable documentation in file	NA
RECEIVED OCCUPATIONAL SKILLS TRAINING OR SKILLS UPGRADING / RETRAINING AND/OR WORKPLACE TRAINING (ADULT AND DLW)	For Adults and DLW's receiving Occupational Skills Training, skills upgrading, entrepreneurial training, job readiness training or customized training	* Vender Training Documentation * School Records * Diploma * Credential	Verify Training	
			YES	NO
			Place copy of applicable documentation in file	NA

WIA Documentation Requirements

CRITERIA		MOST COMMON DOCUMENTATION	ACTION	
ADULT EDUCATION, BASIC SKILLS AND/OR LITERACY ACTIVITIES (must show date of first training service)	Must be provided in combination with other training services. Customized training is not a qualifying training activity to receive these services	* Vendor Training Documentation * Certificate * Detailed Case Notes	Verify Education/Skills or Literacy Activity	
			YES	NO
			Place copy of applicable documentation in file	NA
ON-THE-JOB-TRAINING (ADULT AND DLW) (must show date of first training service)	Training by an employer that is provided to a paid participant that provides knowledge or skills that are essential to the adequate performance of the job, reimburses the employer up to 50% of the wage and is limited in time by a contract	* OJT Master Contract * Vendor Training Documentation * Case Notes	Verify On-the-Job Training	
			YES	NO
			Place copy of applicable documentation in file	NA
EDUCATIONAL ACHIEVEMENT SERVICE (YOUTH) (must show date of first training service)	Tutoring, study skills training, instruction leading to secondary school completion, dropout prevention strategies, alternative secondary school	* Vendor Contract * Sign-in Sheets * Attendance Records * Activity Sheet * Detailed Case Notes	Verify Educational Achievement Service	
			YES	NO
			Place copy of applicable documentation in file	NA

WIA Documentation Requirements

CRITERIA		MOST COMMON DOCUMENTATION	ACTION	
EMPLOYMENT SERVICES (YOUTH)	Preparation for success in employment. Paid and unpaid work experience, internships, job shadowing and occupational skills training.	<ul style="list-style-type: none"> * Vendor Contract * Attendance Rosters * Sign-in sheets * Activity Sheets * Detailed Case Notes 	Verify Receipt of Employment Services	
			YES	NO
			Place copy of applicable documentation in file	NA
ADDITIONAL SUPPORT FOR YOUTH SERVICES (YOUTH)	Include, but are not limited to: * Adult mentoring for a duration of at least 12 months (may occur both during and after program participation); * Comprehensive	<ul style="list-style-type: none"> * Vendor Contract * Attendance Rosters * Activity Sheets * Sign-in sheets * Pay Stub * Detailed Case Notes 	Verify Receipt of Additional Support	
			YES	NO
			Place copy of applicable documentation in file	NA
RECEIVED SUMMER YOUTH EMPLOYMENT OPPORTUNITIES (YOUTH)	Youth who received summer employment	<ul style="list-style-type: none"> * Work Agreements * Attendance Rosters * Activity Sheets * Sign-in sheets * Detailed Case Notes 	Verify Summer Youth Employment	
			YES	NO
			Place copy of applicable documentation in file	NA

WIA Documentation Requirements

CRITERIA		MOST COMMON DOCUMENTATION	ACTION	
LEADERSHIP DEVELOPMENT OPPORTUNITIES (YOUTH)	Opportunities that encourage responsibility, employability and other positive social behaviors: *exposure to post secondary educational opportunities, *community service learning projects, *peer mentoring and tutoring, *Organizational/team work/leadership training, *decision making training, *citizenship/lifeskills training.	* Vendor Contact * Activity Sheets * Attendance Rosters * Detailed Case Notes	Verify Leadership Opportunities	
			YES	NO
			Place copy of applicable documentation in file	NA
RECEIVED FOLLOW-UP SERVICES (YOUTH)	May include: leadership, development and service activities, regular contact with youth's employer, assistance in securing a better job, career development and further education, work related peer groups, adult mentoring, and tracking of youth in employment after training services	* Activity Sheets * Attendance Rosters * Receipt for follow-up support services * Detailed Case Notes	Verify Receipt of Follow-up Service	
			YES	NO
			Place copy of applicable documentation in file	12 Months of follow-up service must be provided to all exited youth.

WIA Documentation Requirements

CRITERIA		MOST COMMON DOCUMENTATION	ACTION	
SUPPORTIVE SERVICES (Documentation sources are applicable to all WIA Programs)	<i>For Adults and DLW's</i> supportive services include transportation, child care, dependent care, and housing necessary to participate in WIA funded activities. <i>For Youth</i> this may include links to community services, assistance with transportation, child care, dependent care, housing	* case notes <i>and</i> copy of receipt or invoice assistance, referral to medical services, assistance with uniforms or other appropriate work attire, work-related tools and items such as glasses and protective eye gear	Verify Receipt of Supportive Service	
			YES	NO
			Place copy of applicable documentation in file	NA

WIA Documentation Requirements

CRITERIA	MOST COMMON DOCUMENTATION	ACTION		
DISLOCATED WORKER (Must show date of actual qualifying dislocation)	Terminated or Laid off	* Letter from employer * OESC verification * OSL application with employment history signed by client	Verify Terminated or Laid Off	
			YES	NO
			Place copy of applicable documentation in file	NA
	Permanent Closure or Substantial Layoff	* Letter from employer * Media announcement with employment verification * Documented telephone verification with employer * OSL application with employment history signed by client	Verify Closure or Substantial Layoff	
			YES	NO
			Place copy of applicable documentation in file	NA
	Formerly self-employed AND unemployed because of general economic conditions	* Current IRS documentation and one of the following * OESC labor market information * Unemployment rate * OESC LE verification	Verify Self Employment	
			YES	NO
			Place copy of applicable documentation in file	NA
	Permanently Dislocated Because of Natural Disaster	* Federal/State Declaration of Disaster * Unemployment Screens indicating receipt of Disaster Unemployment Assistance	Verify Unemployed/Natural Disaster	
			YES	NO
			Place copy of applicable documentation in file	NA

WIA Documentation Requirements

CRITERIA		MOST COMMON DOCUMENTATION	ACTION	
DISPLACED HOMEMAKER	An individual who has been providing unpaid service to family members and who: Has been dependent on another family member for support and no longer has that income for support AND is unemployed and experiencing difficulty in obtaining or upgrading employment.	<ul style="list-style-type: none"> * Public Assistance Records * Court Records * Divorce Decree * Bank Records * Spouses lay-off notice * Spouses death notice * Applicant Statement 	Verify Displace Homemaker	
			YES	NO
			Place copy of applicable documentation in file	NA