

Adult and Dislocated Worker Program Eligibility and Documentation

Technical Assistance Guide

**Missouri Office of Workforce Development
301 W High Street
Jefferson City, MO 65101**



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ALTERNATE FORMS OF DOCUMENTATION

Electronic Records vs. Hard-Copy Files

As the organization moves towards a paperless approach, OWD is strongly encouraging Boards/Subs to utilize the upload feature in MoJobs. Once staff verify the upload was successful, there is no reason to keep hard-copy documentation and staff may return the documentation to the participant or properly dispose of it. The one exception is when the participant has a confidential or Equal Opportunity issue; all confidential information should be kept in separate and secure hard file.

Case Note requirements:

WIOA eligibility criteria may, if no other forms of documentation are available **AND** it is an approved source documentation requirement (see table), be verified by entering detailed case notes into OWD's statewide electronic case-management system with the following information:

- Date of contact
- Person/Agency contacted including name, address, and contact number
- Eligibility items that were verified
- Information recorded must be adequate to enable a monitor or auditor to trace back to the agency providing the information or the document used.

Applicant Statement requirements:

After review of the eligibility criteria along with possible ways to document the criteria, it was found that much of the documentation was readily available through a number of agencies or resources. Although, in some cases, definitive documentation is required, e.g., eligibility to work (I-9 requirements under IRCA) and Selective Service registration or exemption for males.

This TAG allows for limited use of Applicant Statements to document those items which, in some cases, are not verifiable or which may cause undue hardship for individuals to obtain. An Applicant Statement may be used only in the cases described below and only after all practicable attempts to secure documentation have failed, and those attempts have been documented. The following requirements must be met:

- The authorized Applicant Statement form (see page 7) must be used
- The corroborative contact or reliable witness must sign the statement attesting to the accuracy of the statement.

Additional requirements:

To use the Applicant Statement as documentation, the following are required:

- The OWD WIOA Applicant Statement form, or facsimile, or other form containing all of the same required information must be used.

- A corroborative contact or witness must be included on the Applicant Statement form. The corroboration is acknowledged via witness signature. In those rare instances when an applicant cannot obtain a satisfactory witness or provide a telephone contact, the applicant needs to explain why such corroboration is not possible.
- Use of the Applicant Statement is limited to the following instances:
 - A) Family Size - when birth certificates or federal IRS Forms 1040 are not available
 - B) Individual Status - Persons ordinarily included in the definition of family, but claiming to be no longer dependent, must complete an Applicant Statement attesting to their individual status. Such statements should be corroborated by the head of household in which that person resides, if possible. Individual must also show source of his/her support.
 - C) Proof of income for individuals who claim no income or undocumented income – Statement must indicate means of support; e.g., unemployment compensation, for previous six month period. Statement should also indicate corroborative witness to verify indicated means of support.

EXAMPLES

Use of the sample Applicant Statement form on the following page is as follows:

If an applicant states that he/she cannot provide evidence that no income was received during the past six months, and that he/she was unemployed for that period, the blank spaces following the words "I certify, under penalty of perjury, that I..." may be completed, for example, as follows: "...have received no income from any source during the past six months, that I have been unemployed during that time, and have been supported by donations/contributions from relatives and friends." This should be corroborated by the person(s) providing the support.

APPLICANT STATEMENT VS SELF ATTESTATION

An Applicant statement must only be used in the three situations described above and must contain a corroborative witness signature. The Applicant Statement is used for those specific eligibility requirements that, in most instances, hard documentation would have been available. The Self-Attestation form is a signed statement by the applicant attesting to specific data elements that allow for self-disclosure. The signed Self-Attestation does not require a corroborative witness signature. **Please refer to the table and/or TEGl 23-19 for specific source documentation requirements.**

WIOA APPLICANT STATEMENT

I HEREBY CERTIFY, UNDER PENALTY OF PERJURY, THAT

I, _____,

If applicant cannot obtain a satisfactory witness or provide a telephone contact, explain above.

I ATTEST THAT THE INFORMATION STATED ABOVE IS TRUE AND ACCURATE, AND UNDERSTAND THAT THE ABOVE INFORMATION, IF MISREPRESENTED, OR INCOMPLETE, MAY BE GROUNDS FOR IMMEDIATE TERMINATION AND/OR PENALTIES BY LAW.

APPLICANT'S SIGNATURE and DATE

CORROBORATING WITNESS'S SIGNATURE and DATE

APPLICANT'S ADDRESS

WITNESS'S RELATIONSHIP TO APPLICANT

WITNESS'S ADDRESS

WITNESS'S PHONE NUMBER

OFFICE USE ONLY

The above applicant statement is being utilized for documentation of the following eligibility criteria:

SIGNATURE and DATE OF CERTIFYING OFFICIAL

____/____/____
Month Day Year



WIOA SELF-ATTESTATION FORM

I HEREBY CERTIFY, UNDER PENALTY OF PERJURY, THAT

I, _____,

If applicant cannot obtain a satisfactory witness or provide a telephone contact, explain above.

I ATTEST THAT THE INFORMATION STATED ABOVE IS TRUE AND ACCURATE, AND UNDERSTAND THAT THE ABOVE INFORMATION, IF MISREPRESENTED, OR INCOMPLETE, MAY BE GROUNDS FOR IMMEDIATE TERMINATION AND/OR PENALTIES BY LAW.

APPLICANT'S SIGNATURE

DATE SIGNED

APPLICANT'S ADDRESS

APPLICANT'S PHONE NUMBER

The above attestation is being utilized for documentation of the following eligibility criteria:

____/____/____
Month Day Year



I. GENERAL ELIGIBILITY FOR ADULT AND DISLOCATED WORKER PROGRAMS

General eligibility criteria include the following data elements and definitions:

Social Security Number

Staff must request the applicant's Social Security Number.

In instances where the applicant is hesitant to provide the SSN, staff should:

- Explain the State's requirement to maintain confidentiality of their SSN and that the SSN cannot be made public.
- The State must ensure that the SSN is maintained in a secure and confidential manner.
- The State's reporting system uses the SSN to match a program participant's record with that individual's quarterly wage record information to assess the impact of the program's services

When an applicant refuses to provide his or her SSN and still requests workforce services: If it is determined, the applicant is eligible to receive the services requiring an SSN, staff will: (1) Create a "pseudo SSN" in the statewide electronic case management system; (2) Proceed with enrollment; and, (3) Provide services.

Additionally, staff should document in case notes their attempts to obtain the SSN.

Participants with a pseudo SSN will be included in the outcomes for the performance measures.

Local Workforce Development Boards (WDBs) may use supplemental employment data to document a participant's entry and retention in employment for those participants not covered by wage records or enrolled under a pseudo SSN, under established policy in line with their approved local plans.

Date of Birth

Refer to table for source documentation requirements.

Citizenship/Eligibility to Work in the United States

Refer to table for source documentation requirements.

Equal Opportunity Complaint and Grievance Rights Notification

The nondiscrimination and equal opportunity provisions of the Workforce Innovation and Opportunity Act (WIOA) prohibit discrimination against applicants, beneficiaries, and employees on the basis of race, color, national origin, age, disability, sex, religion, and political affiliation or belief, and for beneficiaries only, citizenship or participation in a WIOA financially assisted program or activity.

A copy must be provided of the *Equal Opportunity Notice* and the *Complaint & Grievance Notice* OWD-EO-15 to each employee, applicant, registrant, eligible applicant/registrant, employer, and participant; and retain original signed copies in that individual's file. This applies to WIOA Adult and Dislocated Worker, WIOA Youth, National Dislocated Worker Grant, Trade Adjustment Assistance, and any other funded program tracked in the OWD's statewide electronic case management system.

Selective Service Registration

To be eligible to receive WIOA-funded services, all males born on or after January 1, 1960 must present documentation showing compliance with the Selective Service registration requirements or exceptions, or local areas must determine that the failure to register was not knowing and willful. Selective Service registration requirements and exceptions are found in TEGL 11-11, Change 2, including acceptable documentation to determine registration status and procedures for determining whether failure to register was knowing and willful.

Staff **must** verify registration (for males born after 1959) on the Selective Service website and record the registration number into OWD's statewide electronic case management system. This is considered ideal documentation, and no further documentation is required for this element.

Determining Knowing and Willful Failure to Register:

TEGL 11-11, Change 2 provides local areas with detailed information about requesting a Status Information Letter and the process for determining knowing and willful failure to register. The intent of the TEGL is to provide a framework for local areas to make determinations through a local process where determinations are based on the individual circumstances (e.g. questions, considerations, statements, status information letter) and relevant documentation (i.e. documentation that supports the reason for not registering or further supports the belief that it was not knowing or willful). Because circumstances vary, and will need to be considered, there is no established, proven list of acceptable documentation.

Males 25 Years and Under:

Before being enrolled in WIOA-funded services, all males who are not registered with the Selective Service and have not reached their 26th birthday must register through the Selective Service website, or provide documentation indicating they are covered by an exception (i.e., serving in the military on full-time active duty or a non-U.S. male on a valid non-immigrant visa). Males turning 18 while participating in WIOA funded services must complete Selective Service registration no later than 30 days after becoming 18 in order to continue to receive WIOA-funded services. Males between 18 and 25 years of age who refuse to register with the Selective Service must be suspended from WIOA-funded services until registered.

Males 26 Years and Over:

Before enrolling in WIOA-funded services, all males, 26 years of age or older, must provide:

- Documentation of compliance with the Selective Service registration requirement;
- Documentation showing they were not required to register; or
- If they were required to register but did not, documentation establishing their failure to register was not knowing and willful.

Eligible Veteran Status

Eligibility is based on one of the following three criteria:

- If the individual is a person who served in the active U.S. military, naval, or air service for a period of less than or equal to 180 days, and who was discharged or released from such service under conditions other than dishonorable.
- If the participant served on active duty for a period of more than 180 days and was discharged or released with other than a dishonorable discharge; or was discharged or released because of a service connected disability; or as a member of a reserve component under an order to active duty pursuant to section 167(a), (d), or (g), 673 (a) of Title 10, U.S.C., served on active duty during a period of war or in a campaign or expedition for which a campaign badge is authorized and was discharged or released from such duty with other than a dishonorable discharge.
- If the participant is: (a) the spouse of any person who died on active duty or of a service connected disability, (b) the spouse of any member of the Armed Forces serving on active duty who at the time of application for assistance is listed in one

or more of the following categories and has been so listed for more than 90 days: (i) missing in action; (ii) captured in the line of duty by a hostile force; or (iii) forcibly detained or interned in the line of duty by a foreign government or power; or (c) the spouse of any person who has a total permanent disability resulting from a service connected disability or the spouse of a veteran who died while a disability so evaluated was in existence.

When completing the Veteran's Information screen during the WIOA enrollment in OWD's statewide electronic case management system, staff should only report an individual as having Veteran status if they have reviewed the Veterans Employment and Training Services (VETS) program information contained in the system. This cross match with the VETS database is only valid if there is evidence of a staff-assisted service delivered by a Disabled Veteran Outreach Program (DVOP) or Local Veterans Employment Representative (LVER).

Individuals with no VETS staff-assisted service, but who can produce documentation of Veteran status (DD-214), should also be reported as having Veteran status and documentation must be retained in the participant's record.

Employment Status at Participation

Determination of the employment status of the participant is required and includes the following definition:

- An individual who is working in a paid, unsubsidized job or working 15 hours or more a week in an unpaid job on a farm or business operated by a family member or participant; or
- If unemployed, documentation of unemployment is required. Staff may document unemployed status in Case Notes in OWD's statewide electronic case management system.

II. ADULT PROGRAM ELIGIBILITY CRITERIA

WIOA Definition of Low-Income Individual (excluding Youth criteria)

In general, the term “low-income individual” means an individual who:

- 1) Receives, or in the past six months has received, or is a member of a family that is receiving or in the past six months has received, assistance through the Supplemental Nutrition Assistance Program (SNAP), Temporary Assistance for Needy Families program (TANF), the Supplemental Security Income (SSI) program, or the State or local income-based public assistance programs.
- 2) Is in a family with total family income that does not exceed the higher of the two:
 - The poverty line, or
 - 70 percent of the Lower Living Standard Income Level (LLSIL);
- 3) Is a homeless individual (as defined in section 41403(6) of the Violence against Women Act of 1994); or
- 4) Is a foster child on behalf of whom State or local government payments are made; or
- 5) Is an individual with a disability whose own income meets the income requirement of clause 2, but who is a member of a family whose income does not meet this requirement.

SNAP and TANF Indicators

OWD’s statewide electronic case management system communicates with the FSD case management system through an overnight batch process. This process will identify those individuals who are currently receiving or have received SNAP and/or TANF benefits in the last six months. This indicator may be used to qualify applicants as “low-income” without the need for additional low-income documentation. This automatic indicator is visible to staff. Staff will need to place a printout of the indicator(s) in the file.

The indicator located within MoJobs can be located by selecting the following when assisting an applicant:

My Individual Profiles>>Personal Profile>>General Information>>Staff info>Indicators

If the individual is receiving SNAP and/or TANF, staff will see “SNAP-yes” or “TANF-yes”. If staff does not see these indicators, the individual that they are assisting does not have automatic proof of low-income, and other documentation will need to be obtained.

Family Size and Income Compared to the Poverty Line or LLSIL

To determine whether an individual is low-income in relation to the poverty line or LLSIL, it is necessary to consider family size and family income.

Determining Family Size:

For these purposes, “family” under WIOA, means two or more individuals related by blood, marriage, or decree of court, who are living in a single residence, and are included in one or more of the following categories:

- A married couple, and dependent children;
- A parent or guardian and dependent children; or
- A married couple.

Family-of-One

In addition to meeting, one of the five categories below, the individual must also meet low-income guidelines.

1. Any individual who has a verified, documented disability.
2. A single, widowed, permanently separated, or divorced person, without one or more dependent children living in a single residence with that individual, and who is not a dependent child.
3. A foster child on behalf of whom state or local government payments are made.
4. A runaway youth who is separated from the family.
5. An emancipated or court-adjudicated youth who is separated from the family

Defining Dependent

WIOA does not define dependent. To avoid uncertainty in making eligibility decisions regarding family size and income, please refer to IRS 26 U.S.C.152.

IRS defines “dependent” as a “qualifying child” which includes the following criteria:

- Bears a relationship to the taxpayer (i.e. child of taxpayer, or descendant of such child).
- Has not attained the age of 19 as of the close of the calendar year
- Is a student who has not attained the age of 24 as of the close of such calendar year
- A child of any age that is permanently and totally disabled.
- Has not provided over one-half of such individual's own support for the calendar year.

If staff have person that would meet the definition of a dependent, but are claiming independent status then documentation must be provided to prove independent status (i.e. Tax Returns).

Income Eligibility:

In order to determine income eligibility, use the following guidelines for family income, family composition and family size.

A stepchild or stepparent shall be considered to be related by marriage. The income period for the applicant is from six months prior to application to the date of application.

Includable and Excludable Family Income

Family income calculations ***include*** the following:

- Wages (applicant);
- Wages (mother, father or spouse, dependent child);
- Other wages (siblings or other individuals adding to the family income);
- Other personal or family income including: Net self-employment income, money from rents, alimony, and regular income from insurance policy annuities, union fund strike benefits, workers compensation, private sector disability insurance payments, dividends, interest, periodic receipts from estates or trusts, winnings from contests and/or lotteries and other taxable income;
- Unemployment compensation;
- Child support payments;
- Non-Social Security retirement, disability or death benefits;
- Student grants (non-needs-based);
- Pensions (whether private, civilian government employee, or military); and
- Old Age, Survivors, and Disability Insurance (OASDI), aka Social Security

Family income calculations ***exclude*** the following:

- Veterans payments (education, disability, death);
- Military pay;
- Foster payments;
- Any cash payments under a Federal, State, or local income-based public assistance program such as Temporary Assistance for Needy Families (TANF), Refugee Cash Assistance (RCA), and Supplemental Aid to the Blind (SAB);
- Loans, Pell Grants and needs-based grants and scholarships; and
- Supplemental Security Income (SSI).
- Any allowances, earnings, or payments funded by WIOA or other OWD or Federally funded programs (e.g., SJL, DRJP, AARP, SCSEP, etc.).

Family Size:

Determine the family size (number) and use the “at or below Poverty Line or 70 percent LLSIL” to calculate the total previous six-month income and then double (times two), and compare it to the income limit for eligibility.

Family size and income fields must be completed, even if the information is not required for eligibility determination. Information entered must be true and as accurate as possible. Additionally, this documentation is not required to be maintained in the hard file. These fields are reported on the Participant Individual Record Layout (PIRL) reports to the US Department of Labor. **Staff cannot continue to report individuals as being low-income, (using 1/\$0) when the participant is, in fact, not low-income.**

Income Calculation Methods:

In calculating the annualized income, staff must determine the average six months gross earnings and then multiply by 2. Staff will then need to compare the applicant's annual income and family size to the poverty line or LLSIL.

When calculating income, local areas should utilize one of the following methods as appropriate.

Straight Pay / Salary Method:

To determine the straight pay/salary method, staff must use pay stubs with no variation in the wages for any of the pay stubs submitted from the most recent six months of family income. Based upon the length of the pay period, (weekly, bi-weekly or monthly) the gross income is multiplied by the number of pay periods in a year. The result will be the annualized income used to determine eligibility. For example: Five pay stubs are provided with gross wages of \$548.00 each; the pay stubs cover a period of three months, and the pay frequency is bi-weekly. Multiply the gross wages indicated on the pay stub by the frequency occurrence (bi-weekly): $13 \times \$548 = \$7,124$ (income for 6 months).

Average Pay Method:

To determine the average pay method, staff must total the gross earnings of all the pay stubs provided and divide the result by the number of pay stubs. The result will be the average gross earnings per pay period. Staff will then determine the pay frequency and multiply the gross average earnings by the number of pay periods in a year. For example: Six pay stubs are submitted which show variations in the gross earnings. (The variations may result from overtime, lost time or work for different employers.) Staff should add the six pay stubs of \$534.00, \$475.00, \$398.00, \$534.00, \$498.00, and \$534.00 = \$2,973.00. The pay frequency is weekly. Divide: $\$2,973 \div 6 = \495.50 = average gross earnings. Multiply: $\$495.50 \times 26 = \$12,883$ (income for 6 months).

Year-to-Date Method:

To determine the year-to-date method, staff must total the gross earnings of recent pay stubs with cumulative year-to-date gross earnings indicated on the pay stub. The cumulative year-to-date gross earnings indicate the gross earnings up to the date of the pay period ending date on the pay stub. To compute the annualized income, the intake worker counts the number of pays that have occurred since January 1, and divides that number into the gross year-to-date earnings indicated on the pay stub. (After this computation, the steps are the same as for the average pay method.) The result of this computation (average gross income per pay period) is then multiplied by the number of pay periods in a year to determine the annualized gross earnings.

For example: The pay stubs gross year-to-date earnings are \$13,756. The pay period ended September 30. The pay frequency is bi-weekly. The number of pays since January 1 is 19. To calculate the gross annualized income divide \$13,756 by 19 bi-weekly pays = \$724.00 and multiply \$724.00 by 13 = \$9,412 semi-annual income (based upon bi-weekly pay frequency 13 pays per half year). This amount is then multiplied by 2.

Intermittent Work Method:

When an applicant has not had steady work with one or more employers, she/he should supply as many pay stubs as possible and complete an Applicant Statement explaining all missing pay stubs and non-work periods during the last six months. In such cases, staff should total all wages for the six-month period and multiply the result by two, to annualize the wage income.

No Documented Income:

If the applicant reports no income or undocumented income, she/he should indicate other resources relied upon for support during the last six months on the Applicant Statement. Such resources may include such things as unpaid debts, gifts, loans, unemployment compensation, etc.

If the Last Resort Applicant Statement Option, is used to certify that the information is true and correct the form must have a witness signature and the Case Manager must also sign and date the form.

Homeless Individual

The definition of a homeless individual is a person who lacks a fixed, regular, and adequate nighttime residence. The definition includes any individual who has:

- A primary night time residence that is a publicly or privately operated shelter for temporary accommodation;
- An institution providing temporary residence for individuals intended to be institutionalized; or
- A public or private place not designated for or ordinarily used as a regular sleeping accommodation for human beings.

Individual with a Disability

The term “individual with a disability” means an individual with a disability as defined in Section 3 of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102). (See References: U. S. Equal Opportunity Commission: ADA Amendment Act of 2008). ***An individual with a disability is NOT an automatically eligible for WIOA Adult.***

Adult who is Basic Skills Deficient (BSD)

WIOA defines Adult BSD as an adult that is unable to compute or solve problems, or read, write, or speak English, at a level necessary to function on the job, in the individual’s family, or in society. ***This definition is to assist with local determination of priority of service, and is NOT an automatic determination of eligibility for WIOA Adult. .***

Offender

If the participant is a person who either (a) is or has been subject to any stage of the criminal justice process for committing a status offense or delinquent act, or (b) requires assistance in overcoming barriers to employment resulting from a record of arrest or conviction for committing delinquent acts, such as crimes against persons, crimes against property, status offenses, or other crimes. ***This definition is to assist with local determination of priority of service, and is NOT an automatic determination of eligibility for WIOA Adult.***

III. DISLOCATED WORKER PROGRAM ELIGIBILITY CRITERIA

Note: While local areas may establish policies and procedures for one-stop centers to use in determining an individual's eligibility as a dislocated worker, consistent with the definition at WIOA sec. 3 (15), those guidelines **must not** be more permissive than the State allows. (WIOA 680.130).

Criteria for Determining Eligibility for Dislocated Worker Program

Please see the Table in this guide for more detail on each criterion. The following are the categories of dislocated workers.

Category 1

- Has been terminated or laid off, or has received a notice of termination or layoff, from employment, including separation notice from active military service (under other than dishonorable conditions); **and**
- Is eligible for or has exhausted entitlement to unemployment compensation (UC);**and**
- Is unlikely to return to a previous industry or occupation

A separating service member automatically meets the unlikely to return requirement provided they provide a notice of separation (i.e. DD-214) that indicates a discharge other than dishonorable conditions.

The One-Stop Operator will maintain documentation in the client's file that will verify that the dislocated worker is "unlikely to return to previous industry of employment or occupation". This documentation may include any of the following:

- a) Documentation of a decrease in the number of job openings in the area for the occupation or industry from which the applicant is laid off based on Labor Market Information such as O*NET® or the Missouri Economic Research & Information Center (MERIC); or
- b) Documentation that the client was laid off and has exhausted Unemployment Insurance; or
- c) Documentation provided by OWD, MERIC, or local Chambers of Commerce that demonstrates a particular occupation or industry is declining; or
- d) Documentation of a plant closing or permanent layoffs (of ten or more workers) within a 12 month period, (including the current layoff); or

- e) Documentation from OWD that there is no current job order or that there appears to be an excess of applicants for a job order for the O*NET® code from which the applicant is laid off. **This should be used as a last resort.**
 - In OWD’s statewide electronic case management system, staff must search all Internal Job orders in the local Workforce Development Area (LWDA) using the “Job Occupation” criteria and entering the O*NET® code for the occupation from which the applicant was laid off. To prove unlikely to return, documentation of this search and its yielded results must be placed into the participant’s record. For excessive applicants, documentation showing the excess of applicants must be placed into the participant’s record.
 - f) Any other documentation approved by OWD.
- At least one item of documentation for **(1)** permanently laid off, **(2)** Unemployment Insurance status and **(3)** unlikely to return will be documented and maintained in the participant’s record.

Category 2:

- Has been terminated or laid off, or has received a notice of termination or lay-off, **and**
- Has been employed for duration sufficient to demonstrate attachment to the workforce (the State defines “attachment to the workforce” as having been employed for at least 6 months, at 30 hours a week or more, in the industry or occupation from which he/she was dislocated from through no fault of their own), but is not eligible for UC **due to insufficient earnings** or the **employer is not covered under the state UC law, and**
- Is unlikely to return to a previous industry or occupation (**see above**)

Category 3:

Individual is terminated or laid off, or has received notice of termination or layoff from employment as a result of the **permanent closure of**, or any **substantial layoff** at, a plant, facility, or enterprise.

Closure: company, date, verification that it was a closure. (Letter or notice of closure from the company.)

Substantial layoff: The definition of substantial layoff is equivalent to that of OWD's definition of "Mass Layoff" for Rapid Response purposes. As of the date of this TAG, the definition is defined as any layoff affecting 25 or more workers (see *OWD Statewide Employment Transition Team Policy*)

Category 4:

Individual is **employed** at a facility at which the employer has made a **general announcement that the facility will close within 180 days**; or

For purposes of eligibility to receive services other than training services as described in section 134(c)(3), career services described in section 134(c)(2)(A)(xii), or supportive services, is employed at a facility at which the employer has made a general announcement that such facility or military installation will close in excess of 180 days.

Category 5:

Individual **was previously self-employed** (including farmers, ranchers, and fisherman), but is **unemployed** due to general **economic conditions** in the community of residence or because of **natural disaster**.

Category 6 - Displaced Homemaker:

- An individual who has been providing unpaid services to family members in the home **and**
 - Has been dependent on the income of another family member but is no longer supported by that income; or
 - Is the dependent spouse of a member of the Armed Forces on active duty and whose family income is significantly reduced because of a deployment, a call or order to active duty, a permanent change of station, or the service-connected death or disability of the member; and
 - Is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.

Category 7:

The spouse of a member of the Armed Forces on active duty **and** who has experienced a loss of employment as a direct result of relocation to accommodate a permanent change in duty station of such member.

Category 8:

The spouse of a member of the Armed Forces on active duty **and** who is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.

Category 12:

Dislocated Worker Grant (DWG) eligibility: Individual does not meet criteria outlined for Dislocated Workers in categories 1-8 above, but is an individual that meets DWG eligibility outlined under WIOA Title ID National programs, Sec. 170 National dislocated worker grants, relation to Sec 170(b)(1)(A) workers affected by major economic dislocations or Sec 170(b)(1)(B) workers affected by an emergency of major disaster.

Dislocated Worker Eligibility

A dislocated worker may be determined eligible for services even if employment since their layoff has not lead to self- sufficiency or the employment was in a declining industry.

Eligibility for UC is adequate proof that the individual was “terminated or laid off for Category 1.”

Eligibility for Trade Adjustment Assistance (TAA), Reemployment Services & Eligibility Assessments (RESEA) satisfies the Dislocated Worker criteria. The participant must be determined eligible for these programs, but does not necessarily need to be enrolled in the respective program in order to be considered a Dislocated Worker.

Participation in an Unemployment Insurance “Shared Work” program does not constitute eligibility to receive unemployment compensation for Dislocated Worker eligibility purposes.

A Dislocated Worker with a Missouri Unemployment Insurance (UI) claim can access an Unemployment Verification Letter by utilizing the Division of Employment Security’s Online Claims Filing System to serve as documentation of Dislocated Worker status. Termination/layoff and eligibility for Unemployment Insurance is documented if there are payments in the “Processed Weekly Request for Payments” section. If it also shows a zero dollar amount in the “Balance” field, this is proof of an exhausted claim and satisfies documentation for “unlikely to return.”

If the Unemployment Verification Letter is not available, or does not indicate a zero balance to document “unlikely to return,” refer to the Eligibility Documentation Requirements in the Dislocated Worker Program section of the attachment, for complete eligibility criteria and acceptable documentation.

Show-Me Heroes Program

In order to be eligible for the Show-Me Heroes Program the veteran or the spouse of the veteran must be determined eligible as a dislocated worker. The Veteran must (1) meet the Federal definition of a Veteran (Title 38 USC code Chapter 42); (2) Cannot have a

dishonorable discharge; and (3) Must not be over five years from the date of discharge from active duty.

The Military Service Member must:

- Be a member of a Reserve Component of the US Armed Forces (Missouri National Guard, Army Reserve, Marine Corps Reserve, Air Force Reserve, Navy Reserve, or Coast Guard Reserve); and
- Be a Service Member that was deployed for at least four months; and
- Must not be over five years from date of discharge from a deployment.

The Spouse of a Veteran or Military Service Member must:

- Be unemployed; and
- The spouse of a member of the active duty U.S. military personnel; or
- The spouse of a member of the Active or Reserve Component of the U.S. Armed Forces (National Guard/Reserve/Active Duty) where (a) the service member must have been deployed for at least four months; and (b) the service member must not be over five years from date of discharge from a deployment.

The State of Missouri's Show Me Heroes Program was enacted in House Bill number 1680 by the 96th General Assembly. It is located in Section 620.515.

Date of Dislocation

The participant's date of actual dislocation from employment is the last day of employment at the dislocation job (the last day worked).

Date of Program Exit

The last date the participant received services that are not self-service, information-only, or follow up services.

IV. TRAINING SERVICES

Are available to adult and dislocated workers who:

- A one-stop operator/partner determines, after an interview, evaluation, or assessment, **and** career planning, are:
 - 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; and
 - In need of training services to obtain or retain employment leading to economic self-sufficiency or wages comparable to or higher than wages from previous employment; and
 - Have the skills and qualifications to participate successfully in training services; and
 - Have selected a program of training services that is directly linked to the employment opportunities in the local area or the planning region, or in another area to which the individuals are willing to commute or relocate; and
 - Are unable to obtain grant assistance from other sources to pay the costs of such training, including such sources as State-funded training funds, Trade Adjustment Assistance, and Federal Pell Grants established under Title IV of the Higher Education Act of 1965, or require WIOA assistance in addition to other sources of grant assistance, including Federal Pell Grants.

Each of these training eligibility requirements for training services **must** be met and documented in detail. Staff **must** explain why the participant is unable to obtain/retain employment, why the participant is in need of training, what skills the participant has versus they skills they are lacking, the benefit to program the participant selected, and information on other grants (simply stating “yes” is unacceptable and could result in a Questioned Cost.)

Staff may document these requirements in Case Notes in OWD’s statewide electronic case management system.

The case file must contain a determination of need for training services as determined through the interview, evaluation, or assessment, and career planning informed by local labor market information and training provider performance information; or through any other career service received. Explanations must include a clear description of the

information, such as MERIC or Bureau of Labor Statistics (BLS) labor market information to prove the training chosen by the participant is linked to an employment opportunity.

The case file must also contain documentation from MoSCORES (the State's Eligible Training Provider System) showing that the program of study was WIOA approved on the date the training eligibility determination was made.

The record in OWD's statewide electronic case management system should also contain case notes that meet the following guidelines:

- Record participant's progress toward reaching the Employment Plan (EP) goals;
- Document the need for and the delivery of additional services;
- Document all contacts with the participant; and
- Report any new information pertaining to the participant's employability.

The following payment-related documents must be retained in the case record:

- OJT or Work Experience records;
- Classroom Training records;
- Supportive Services payment records;
- Needs-Related Payments records; and
- Records of any other payments made to, or on behalf of, the participant.

V. OTHER REQUIRED DATA ELEMENTS

Other Reasons for Exit

The following reasons for exit must be entered into OWD's statewide electronic case management system at the time of exit or during the fourth quarter measurement period following the quarter of exit:

- If the participant exits the program because he or she has become incarcerated in correctional institution or has become a resident of an institution or facility providing 24-hour support such as a hospital or treatment center during the course of receiving services as a participant.
- If the participant exits the program because of medical treatment and that treatment is expected to last longer than 90 days and precludes entry into unsubsidized employment or continued participation in the program.
- If the participant is deceased.
- If the participant exits the program because the participant is a member of the National Guard or other reserve military unit of the armed forces and is called to active duty for at least 90 days.
- **(Youth participants only)**. If the participant is in the foster care system as defined in 45 CFR 1255.20(a), and exits the program because the participant has moved from the area as part of such a program or system.
- If the participant is a criminal offender in a correction institution under section 225 of WIOA

VI. SOURCE DOCUMENTATION REQUIREMENTS

Each criterion listed in the attached Table must be documented using one document listed under the heading: Source Documentation. The source documentation should be in the form of a copy of the relevant document. These documents must be validated.

Types of Source Documentation

Documentation consists of records, certificates, identification cards and other items, which may be photocopied/uploaded and included in the participants' case records. Written statements from governmental, educational, judicial, human services or other appropriate sources may be used to document eligibility. Service providers may also document eligibility through oral contact with the same resources that could provide written statements. In documenting oral contact, the following information should be included in a detailed case note in OWD's statewide electronic case management

system: a) date of contact, b) Person/Agency contacted including name, address, and contact number, and c) Eligibility items that were verified.

The primary types of documentation include the following:

- **Cross-Match:** A cross-match requires validators to find detailed supporting evidence for the data element in a database. An indicator or presence of a Social Security Number (SSN) in an administrative non-WIOA database, i.e., a database not maintained by a WIOA core program such as data from the State's Department of Motor Vehicles, is not sufficient evidence for a cross-match. State validators must also confirm supporting information such as dates of participation and services rendered. States must have data sharing agreements in place as appropriate.
- **Self-Attestation:** Self-attestation (**Self-Attestation form see pg. 7**) occurs when a participant states his or her status for a particular data element, such as pregnant or parenting youth, 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 on paper or in the State management information system, with an electronic signature.
- **Case Notes:** Case notes refer to either paper or electronic statements by the case manager that identify, at a minimum, the following:
 - (a) a participant's status for a specific data element,
 - (b) the date on which the information was obtained, and
 - (c) the case manager who obtained the information.
- **Electronic Records:** Electronic records are participant records created, stored or transferred in a form that only a computer can process and maintained in the State's management information system. Records can be numeric, graphic, or text. They can also include magnetic storage media such as tapes or disks.
- For most data elements, the validation guidelines provide multiple forms of acceptable source documentation (Please refer to TEGl 23-19). If the grantee collects multiple sources for the same data element and the sources conflict, the most objective source should be used to determine if the data element is valid and accurate.

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

Eligibility and Data Validation Documentation Requirements
Section I: GENERAL ELIGIBILITY

Data Element/ Eligibility Criteria	WIOA Program and Eligibility Requirements	Source Documentation Requirements
<p>Social Security Number (SSN)</p> <p>Missouri Requirement</p>	<p>Staff must <u>request</u> the applicant’s Social Security Number</p> <p>In instances where the applicant is hesitant to provide the SSN, staff should:</p> <ul style="list-style-type: none"> • Explain the State’s requirement to maintain confidentiality of their SSN and that the SSN cannot be made public. • The State must ensure that the SSN is maintained in a secure and confidential manner. • The State’s reporting system uses the SSN to match a program participant’s record with that individual’s quarterly wage record information to assess the impact of the program’s services. <p>When an applicant refuses to provide his or her SSN and still requests workforce services:</p> <p>If it is determined the customer is eligible to receive the services requiring an SSN, staff will need to:</p> <ol style="list-style-type: none"> (1) Create a “pseudo SSN”; (2) Proceed with enrollment; and, (3) Provide services. <p>Additionally, staff should document in case notes their attempts to obtain the SSN. The participants with a pseudo SSN will be included in the outcomes for the performance measures.</p> <p>Local Boards may use supplemental data to document a participant’s entry and retention in employment for those participants not covered by wage records or enrolled under a pseudo SSN.</p>	<p>Source Documentation (Must display Social Security Number)</p> <ul style="list-style-type: none"> • DD-214 • Employment Records • Social Service Agency Records • Public Assistance Records • Social Security Benefits • Social Security Card • W-2 Form • Proof of UI eligibility • Selective Service Registration

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

**Eligibility and Data Validation Documentation Requirements
Section I: GENERAL ELIGIBILITY**

Data Element/ Eligibility Criteria	WIOA Program and Eligibility Requirements	Source Documentation Requirements
<p>Date of Birth</p> <p>Data Element (200)</p>	<p>Documentation of date of birth is required for General Eligibility for all programs.</p> <p>The applicant must be 18 years or older at the time of participation in the WIOA Adult program.</p>	<p>Source Documentation (Must display Date of Birth)</p> <ul style="list-style-type: none"> • Driver's License (current or expired) • Federal-, State- or locally issued government ID Card • Birth Certificate • DD-214, Report of Transfer or Discharge papers • Passport • Public Assistance/Social Service Records (including Selective Service Registration) • School Records or ID Card • Work Permit • Hospital Record of Birth • Proof of UI eligibility

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

Eligibility and Data Validation Documentation Requirements
Section I: GENERAL ELIGIBILITY

Data Element/ Eligibility Criteria	WIOA Program and Eligibility Requirements	Source Documentation Requirements
Eligible to Work in the United States	<p>Citizenship/Alien Status documentation is required for General Eligibility.</p> <p>Participation in programs and activities financially assisted in whole or in part under WIOA shall be open to citizens and nationals of the U.S., lawfully admitted permanent resident aliens, lawfully admitted refugees and parolees, and other individuals authorized by the Attorney General to work in the U.S</p>	<ul style="list-style-type: none"> • DD-214 • Alien Registration Card/Work Permit • Birth Certificate • Food Stamp Records • Foreign Passport (stamped eligible to work) • I-9 Supporting Documentation (staff do not have to complete the actual I-9 form) • Hospital Record of Birth • Naturalization Certification • Public Assistance Records • U.S. Passport • Proof of UI eligibility

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

**Eligibility and Data Validation Documentation Requirements
Section I: GENERAL ELIGIBILITY**

Data Element/ Eligibility Criteria	WIOA Program and Eligibility Requirements	Source Documentation Requirements
Equal Opportunity (EO) and Complaint & Grievance Rights Notification	All employees, former employees, customers, non-customers or employers must be made aware of their equal opportunity rights and responsibilities, as well as their complaint and grievance rights under the Workforce Innovation and Opportunity Act. In order to ensure equal opportunity for customers within the Workforce System, the Missouri Office of Workforce Development (OWD) and all of its sub-recipients must provide initial and continuing notice that they do not discriminate on any prohibited grounds, and that there is a process to resolve any complaints or grievances.	Job Center staff must provide a copy of the <i>Equal Opportunity Notice</i> and the <i>Complaint & Grievance Notice</i> OWD-EO-15 to each employee, applicant, registrant, eligible applicant/registant, employer, and participant; and retain original signed copies in the participant's record.
Selective Service Registration	Selective Service registration documentation is required for General Eligibility.	<p>Staff must verify registration (for males born after 1959)</p> <ul style="list-style-type: none"> • Selective Service website and record the registration number into OWD's statewide electronic case management system. • If the registration number is not found, follow the guidance on pages 9-10 of this TAG. <p>Reference:</p> <ul style="list-style-type: none"> • U.S. Selective Service Verification website: www.sss.gov

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

Eligibility and Data Validation Documentation Requirements
Section I: GENERAL ELIGIBILITY

Data Element/ Eligibility Criteria	WIOA Program and Eligibility Requirements	Source Documentation Requirements
<p>Eligible Veteran Status</p> <p>Data Element (301)</p>	<p>Eligibility is based on one of three criteria:</p> <ol style="list-style-type: none"> 1. If the individual is a person who served in the active U.S. military, naval, or air service for a period of less than or equal to 180 days, and who was discharged from such service under conditions other than dishonorable. 2. If the participant served on active duty for a period of more than 180 days and was discharged or released with other than a dishonorable discharge; or was discharged or released because of a service connected disability; or as a member of a reserve component under an order to active duty pursuant to section 167(a), (d), or (g), 673 (a) of Title 10, U.S.C., served on active duty during a period of war or in a campaign or expedition for which a campaign badge is authorized and was discharged or released from such duty with other than a dishonorable discharge. 3. If the participant is: (a) the spouse of any person who died on active duty or of a service connected disability, (b) the spouse of any member of the Armed Forces serving on active duty who at the time of application for assistance is listed, pursuant to 38 U.S.C 101 in one or more of the following categories and has been so listed for more than 90 days: (i) missing in action; (ii) captured in the line of duty by a hostile force; or (iii) forcibly detained or interned in the line of duty by a foreign government or power; or (c) the spouse of any person who has a total disability permanent in nature resulting from a service connected disability or the spouse of a veteran who died while a disability so evaluated was in existence. 	<p>Eligible Veteran status is a required data element to be recorded in OWD’s statewide electronic case management system.</p> <ul style="list-style-type: none"> • DD-214 • Cross-Match with Department of Defense Records • Cross-Match with Veterans Services Database • Letter from the Veterans Administration <p>Note: For WIOA Adult/DW/WP/DWG require only if participant received Individualized Career Services or Training Services.</p>

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

Eligibility and Data Validation Documentation Requirements Section I: GENERAL ELIGIBILITY		
Data Element/ Eligibility Criteria	WIOA Program and Eligibility Requirements	Source Documentation Requirements
Employment Status at Participation Data Element (400)	An individual who is working in a paid, unsubsidized job or working 15 hours or more a week in an unpaid job on a farm or business operated by a family member or participant; or If unemployed, documentation of unemployment is required. Staff may document unemployed status in Case Notes in OWD's information management system.	<ul style="list-style-type: none"> • Pay stub • Employer letter • Case notes recording the information collected from participant to show either employed or unemployed. • Signed WIOA Intake form or signed Self-Attestation Form

Eligibility and Data Validation Documentation Requirements Section II. WIOA ADULT PROGRAM		
Data Element/ Eligibility Criteria	WIOA Program and Eligibility Requirements	Source Documentation Requirements
Automatic Indicators of Low Income:	If the following documentation is provided, then the individual is automatically considered low-income and additional income and family size documentation is NOT required.	Documentation for Automatic Low Income: <ul style="list-style-type: none"> • Homelessness (please refer to sub-section for source documentation) • SNAP (please refer to sub-section for source documentation) • TANF (please refer to sub-section for source documentation) • Supplemental Social Security (SSI)

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

Eligibility and Data Validation Documentation Requirements Section II. WIOA ADULT PROGRAM		
Data Element/ Eligibility Criteria	WIOA Program and Eligibility Requirements	Source Documentation Requirements
Temporary Assistance to Needy Families (TANF) Data Element (600)	<p>If the applicant is a person who is listed on the grant or has received cash assistance or other support services from the TANF agency in the last six months prior to participation in the program.</p>	<ul style="list-style-type: none"> • Cross-Match with Public Assistance Records • Missouri Department of Social Services' Missouri Benefits Center website printout (TANF Eligibility Verification or TANF Period of Benefit Receipt Verification). • OWD's statewide electronic case management indicator for TANF (printout Referral Transmittal from TANF)
Supplemental Nutrition Assistance Program (SNAP) Data Element (603)	<p>Participant is receiving assistance through the Supplemental Nutrition Assistance Program (SNAP) under the Food and Nutrition Act of 2008 (7 USC 2011 et seq.)</p>	<ul style="list-style-type: none"> • Cross-Match with Public Assistance Records • Missouri Department of Social Services' Missouri Benefits Center website printout (SNAP Eligibility Verification, Copy of Authorization to Receive Food Stamps or documentation of Food Stamp Benefit Receipt). • OWD's statewide electronic case management indicator for SNAP (printout Referral Transmittal from SNAP)

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

**Eligibility and Data Validation Documentation Requirements
Section II. WIOA ADULT PROGRAM**

Data Element/ Eligibility Criteria	WIOA Program and Eligibility Requirements	Source Documentation Requirements
<p>Other Public Assistance Recipient:</p> <p>Data Element (604)</p>	<p>Participant is a person who is receiving or has received cash assistance or other support services from one of the following sources in the last six months prior to participation in the program: General Assistance (GA) (State/local government), or Refugee Cash Assistance (RCA). Do not include foster child payments.</p>	<ul style="list-style-type: none"> • Copy of Authorization to Receive Cash Public Assistance • Copy of Public Assistance Check • Medical Card Showing Cash Grant Status • Public Assistance Eligibility Verification • Cross-Match with Refugee Assistance Records • Cross-Match with Public Assistance Records • Cross-Match with State MIS Database
<p>Supplemental Security Income(SSI) / Social Security Disability Insurance (SSDI)</p> <p>Data Element (602)</p>	<p>Participant is receiving or has received SSI or SSDI under Title XVI of the Social Security Act in the last six months prior to participation in the program.</p>	<ul style="list-style-type: none"> • SSI/SSDI Receipt of Benefits Verification • Referral Transmittal from SSA • SSI/SSDI Eligibility Verification • Cross-Match with SSA Database

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

**Eligibility and Data Validation Documentation Requirements
Section II. WIOA ADULT PROGRAM**

Data Element/ Eligibility Criteria	WIOA Program and Eligibility Requirements	Source Documentation Requirements
<p>Family Size and Income</p> <p>Data Element (802)</p>	<p>Determined when an individual received an income or is a member of a family that received an income for the six-month period prior to application for the program that in relation to family size does not exceed the higher of the poverty line or 70 percent of the lower living standard income.</p> <p>“Family” under WIOA means two or more individuals related by blood, marriage, or decree of court, who are living in a single residence, and are included in one or more of the following categories:</p> <ul style="list-style-type: none"> • A married couple, and dependent children; • A parent or guardian and dependent children; or • A married couple. <p>In addition to meeting, one of the five categories below, the individual must also meet low-income guidelines.</p> <ol style="list-style-type: none"> 1. Any individual who has a verified, documented disability. 2. A single, widowed, permanently separated, or divorced person, without one or more dependent children living in a single residence with that individual, and who is not a dependent child. 3. A foster child on behalf of whom state or local government payments are made 4. A runaway youth who is separated from the family 5. An emancipated or court-adjudicated youth who is separated from the family 	<p style="text-align: center;">Documentation for Income</p> <ul style="list-style-type: none"> • Pay Stubs • Award Letter from Veterans Administration • Compensation Award Letter • Court Documentation (Alimony Agreement, Court Award Letter) • Employer Statement/Contact • Housing Authority Verification • Social Security Benefits • Unemployment Insurance Documents <ul style="list-style-type: none"> • Last resort Applicant Statement (see specific requirements on pg. 5) <p style="text-align: center;">Documentation for Family Size of 2 or more</p> <ul style="list-style-type: none"> • Birth Certificates • Public Assistance Records (if all family members are listed) • Lease or Landlord Statement (if all family members are listed) • Marriage Records • Medical Records • Housing Authority Verification • Statement from a Public Care Facility (mental hospital, prison) • Most Recent Tax Return • Verification of Non-filing (formerly IRS 1722) <ul style="list-style-type: none"> • Last resort: Applicant Statement (see specific requirements on pg. 5) <p style="text-align: center;">Documentation for Family-of-One</p> <ul style="list-style-type: none"> • Most Recent Tax Return or Verification of IRS non-filing • Medical Records or Disability Documentation • Vocational Rehabilitation Record • Lease or Landlord Statement • Court Records (Decree of Court) • Public Assistance Records • Last resort: Applicant Statement (see specific requirements on pg. 5)

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

**Eligibility and Data Validation Documentation Requirements
Section II. WIOA ADULT PROGRAM**

Data Element/ Eligibility Criteria	WIOA Program and Eligibility Requirements	Source Documentation Requirements
<p>Homeless Individual</p> <p>Data Element (800)</p>	<p>If the applicant is an individual aged 16 to 24 who meets the criteria defined in sec. 41403(6) of the Violence Against Women Act of 1994 (42 U.S.C. 14043e-2(6)),</p> <p>Homeless is defined as an individual who lacks a fixed, regular, and adequate nighttime residence; <u>and</u> includes an individual who:</p> <ul style="list-style-type: none"> • is sharing the housing of other persons due to loss of housing, economic hardship, or a similar reason; • is living in a motel, hotel, trailer park, or campground due to the lack of alternative adequate accommodations; • is living in an emergency or transitional shelter; • is abandoned in a hospital; or • is awaiting foster care placement; or • is using a primary nighttime residence that is a public or private place not designed for a regular sleeping accommodation for human beings; or • is living in cars, parks, public spaces, abandoned buildings, substandard housings, bus or train stations, or similar settings. <p>For additional guidance see: http://nche.ed.gov</p>	<ul style="list-style-type: none"> • Self-Attestation Form (see pg. 6) • Signed Intake WIOA Application or Enrollment Form • Written Statement or Referral Transmittal from a Shelter or Social Service Agency • Case Notes • A letter from caseworker or support provider

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

**Eligibility and Data Validation Documentation Requirements
Section III. DISLOCATED WORKER PROGRAM**

Data Element / Eligibility Criteria	WIOA Program and Eligibility Requirements	Source Documentation Requirements
<p>Permanent Layoff</p> <p>UC Eligible Status</p> <p>Data Element (401)</p>	<p><u>Category 1 - Permanent Layoff:</u></p> <p>Has been terminated or laid off, or has received a notice of termination or layoff, from employment, including separation notice from active military service (under other than dishonorable conditions); <u>and</u></p> <p>Is eligible for, or has exhausted entitlement to, unemployment compensation; <u>and</u></p> <p>Is unlikely to return to a previous industry or occupation.</p>	<p>Category 1. Permanent Layoff:</p> <p>Any one of the following three elements adequately document Category A eligibility:</p> <p>Copy DD-214, form 4 with any discharge reason (except dishonorable or retired).</p> <p>RESEA and RJS Eligible:</p> <ul style="list-style-type: none"> • Case note in OWD’s statewide electronic case management system. <p>Trade Eligible:</p> <ul style="list-style-type: none"> • Case note in OWD’s statewide electronic case management system. <p>Or, documentation from all three of the categories below:</p> <p>Lay-off status:</p> <ul style="list-style-type: none"> • Proof of UI eligibility; or • Employer lay-off letter or notice; or, • Employer phone contact (case note contact, see pg 5 for specific requirements) <p>Unemployment Insurance status:</p> <ul style="list-style-type: none"> • Unemployment benefits print out or bank deposit record indicating UI deposit; or • Unemployment Verification Letter from DES Online Claim Filling System

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

**Eligibility and Data Validation Documentation Requirements
Section III. DISLOCATED WORKER PROGRAM**

Data Element / Eligibility Criteria	WIOA Program and Eligibility Requirements	Source Documentation Requirements
<p>Permanent Layoff (continued)</p>	<p><u>Category 1 - Permanent Layoff, continued</u></p>	<p>Category 1. Permanent Layoff, <i>continued</i></p> <p>Unlikely to return to previous occupation or industry:</p> <ul style="list-style-type: none"> • Acceptable discharge documentation for separating service members • Exhausted Unemployment Insurance (DES Online Claim Filing System, zero \$ amount in the “Balance” field or other UI record); or, • O*NET shows declining occupation or industry • Closure or permanent layoff in similar industry (10 or more workers, in the region, past 12 months); or, • Decreased job openings or no job openings for an occupation or industry in the region; or, • Excessive Applicants for an occupation (more than 10 applicants in the region for each opening). • MERIC or local Chambers of Commerce shows occupation or industry is declining in the region; or, • Other approved by the Local Board and OWD.

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

**Eligibility and Data Validation Documentation Requirements
Section III. DISLOCATED WORKER PROGRAM**

Data Element/ Eligibility Criteria	WIOA Program and Eligibility Requirements	Source Documentation Requirements
<p>Permanent Layoff (continued)</p>	<p><u>Category 2 - Permanent Layoff:</u></p> <p>Has been terminated or laid off, or has received a notice of termination or layoff, from employment; <u>and</u></p> <p>Has been employed for a duration sufficient to demonstrate attachment to the workforce (the State defines “attachment to the workforce” as having been employed for at least 6 months, at 30 hours a week or more, in the industry or occupation from which he/she was dislocated from through no fault of their own), but is not eligible for unemployment compensation due to insufficient earnings or having performed services for an employer that were not covered under a State unemployment compensation law; <u>and</u></p> <p>Is unlikely to return to a previous industry or occupation</p>	<p>Category 2- Permanent Layoff</p> <p>Insufficient earnings:</p> <ul style="list-style-type: none"> • Documentation from DES indicating ineligibility due to insufficient earnings. • Paystubs showing employment for at least 30 hours a week for the 6 months in the industry or occupation from which dislocated from) and that the termination or layoff was no fault of the individual. <p>Employer not covered:</p> <ul style="list-style-type: none"> • Evidence that the employer was not covered under a State unemployment compensation law. <p>Unlikely to return to previous occupation or industry:</p> <ul style="list-style-type: none"> • Exhausted Unemployment Insurance (DES Online Claim Filing System, zero \$ amount in the “Balance” field or other UI record); or, • O*NET shows declining occupation or industry • Closure or permanent layoff in similar industry (10 or more workers, in the region, past 12 months); or, • Decreased job openings or no job openings for an occupation or industry in the region; or, • Excessive Applicants for an occupation (more than 10 applicants in the region for each opening). • MERIC or local Chambers of Commerce shows occupation or industry is declining in the region; or, • Other documentation approved by the Local Board and OWD

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

**Eligibility and Data Validation Documentation Requirements
Section III. DISLOCATED WORKER PROGRAM**

Data Element/ Eligibility Criteria	WIOA Program and Eligibility Requirements	Source Documentation Requirements
<p>Permanent Closure or Substantial layoff</p>	<p><u>Category 3 - Permanent Closure or Substantial Layoff:</u></p> <p>Has been terminated or laid off, or has received a notice of termination or lay-off from employment, as a result of any permanent closure of, or any substantial lay-off at, a plant, facility, or enterprise</p> <p>Substantial layoff: The definition of substantial layoff is equivalent to that of OWD’s definition of “Mass Layoff” for Rapid Response purposes. As of the date of this TAG, the definition is defined as any layoff affecting 25 or more workers (see OWD Statewide Employment Transition Team Policy).</p>	<p>Category 3- Permanent Closure or Substantial Layoff:</p> <p>Closure:</p> <ul style="list-style-type: none"> • Documentation of employment at company; and • Letter or notice of closure from the company; or • Employer phone contact (case note contact); or • News article; or • Other documentation approved by OWD <p>Employed at time of closure:</p> <ul style="list-style-type: none"> • Documentation of employment at company; and • Employer lay-off letter or notice; or • Employer phone contact (case note contact); or • Other documentation approved by OWD <p>Permanently laid off due to Substantial layoff:</p> <ul style="list-style-type: none"> • Documentation of employment at company; and • Employer lay-off letter or notice; or • Employer phone contact (case note contact); or • Other documentation approved by OWD

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

Eligibility and Data Validation Documentation Requirements Section III. DISLOCATED WORKER PROGRAM		
Data Element / Eligibility Criteria	WIOA Program and Eligibility Requirements	Source Documentation Requirements
<p>General Announcement that facility will close</p>	<p><u>Category 4 - General Announcement that facility will close:</u></p> <p>Individual is employed at a facility at which the employer has made a general announcement that the facility will close within 180 days; or</p> <p>For purposes of eligibility to receive services <u>other than</u> training services as described in section 134(c)(3), career services described in section 134(c)(2)(A)(xii), or supportive services, is employed at a facility at which the employer has made a general announcement that such facility or military installation will close in excess of 180 days.</p>	<p>Category 4- General Announcement</p> <p>Employed at time of closure:</p> <ul style="list-style-type: none"> • Documentation of employment at company; and • Employer letter or notice; or • Employer phone contact (case note contact)

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

**Eligibility and Data Validation Documentation Requirements
Section III. DISLOCATED WORKER PROGRAM**

Data Element/ Eligibility Criteria	WIOA Program and Eligibility Requirements	Source Documentation Requirements
Self-Employed	<p><u>Category 5 - Self-Employed Dislocation:</u></p> <p>Self-Employed (including employment as a farmer, a rancher, or a fisherman) but is unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters.</p> <p>At least two items must be documented to verify eligibility under this category. There must be adequate documentation which clearly shows that the applicant (1) was self-employed and (2) is now unemployed.</p>	<p>Category 5- Self-Employed:</p> <p>1. Evidence of self-employment:</p> <ul style="list-style-type: none"> • Business tax return • Business license • Any other legal document which shows self-employment and which could be verified by phone <p>2. Evidence of business failure:</p> <ul style="list-style-type: none"> • Due to natural disasters (Insurance records, Disaster Declaration, etc.) • Due to bankruptcy or foreclosure • Due to inability to secure capital necessary to continue a farm operation or other business. • Due to general economic conditions. In some instances, a self-employed person has not filed bankruptcy or other official evidence of business failure, but is willing to attest that he/she is no longer in business. In those instances, additional documentation may be necessary. <p>NOTE: One item under “2. Evidence of business failure” must be documented to prove business failure. If failure was due to general economic conditions, the documentation must include evidence of the following: (continued)</p>

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

Eligibility and Data Validation Documentation Requirements Section III. DISLOCATED WORKER PROGRAM		
Data Element / Eligibility Criteria	WIOA Program and Eligibility Requirements	Source Documentation Requirements
Self-Employed, <i>continued</i>	<u>Category 5 - Self-Employed Dislocation:</u> <i>continued</i>	<p>Category 5- Self-Employed, <i>continued</i></p> <ol style="list-style-type: none"> 1. Failure of one or more businesses to which the self-employed individual supplied a substantial proportion of products or services; 2. Failure of one or more businesses from which the self-employed individual obtained a substantial proportion of products or services; 3. Substantial layoff(s) from or permanent closure(s) of one or more plants or facilities that support a significant portion of the State or local economy; and/or 4. Depressed price(s) or market(s) for the article(s) produced by the self-employed individual. <p>Allowable Documentation:</p> <ul style="list-style-type: none"> • Applicant Statement (see specific requirements on pg. 5) • Bank Loan Denial Letter (inability to secure capital) • Bankruptcy or foreclosure Records • Disaster Declaration, if due to natural disaster • Insurance Records

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

**Eligibility and Data Validation Documentation Requirements
Section III. DISLOCATED WORKER PROGRAM**

Data Element/ Eligibility Criteria	WIOA Program and Eligibility Requirements	Source Documentation Requirements
Displaced Homemaker	<p><u>Category 6 - Displaced Homemaker:</u></p> <p>An individual who has been providing unpaid services to family members in the home and who—</p> <p>Has been dependent on the income of another family member but is no longer supported by that income; <u>or</u></p> <p>Is the dependent spouse of a member of the Armed Forces on active duty and whose family income is significantly reduced because of a deployment, a call or order to active duty, a permanent change of station, or the service-connected death or disability of the member; <u>and</u></p> <p>Is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.</p>	<p>Category 6- Displaced Homemaker:</p> <p>Has been dependent on the income of another family member, but is no longer supported by that income:</p> <ul style="list-style-type: none"> • Applicant Statement (see specific requirements on pg. 5) • Divorce or separation decree • Tax Records • Social services agency or shelter referral <p>Military deployment of spouse:</p> <ul style="list-style-type: none"> • Military record of deployment <p>Unemployed or under-employed:</p> <ul style="list-style-type: none"> • Applicant Statement (see specific requirements on pg. 5) • Pay stubs • Public Assistance Records • Unemployment Insurance Records (accompanied with an applicant statement)

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

Eligibility and Data Validation Documentation Requirements Section III. DISLOCATED WORKER PROGRAM		
Data Element / Eligibility Criteria	WIOA Program and Eligibility Requirements	Source Documentation Requirements
Spouse of an Armed Forces Member	<p><u>Category 7 - Spouse of an Armed Forces Member:</u></p> <p>Is the spouse of a member of the Armed Forces on active duty, and who has experienced a loss of employment as a direct result of relocation to accommodate a permanent change in duty station of such member.</p>	<p>Category 7. Spouse of an Armed Forces Member:</p> <ul style="list-style-type: none"> • Copy of the Permanent Change Station orders • DD-214 of the Armed Forces member • Applicant Statement (see specific requirements on pg. 5) • Pay stubs • Public Assistance Records • Unemployment Insurance Records (accompanied with an applicant statement)

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

Eligibility and Data Validation Documentation Requirements Section III. DISLOCATED WORKER PROGRAM		
Data Element / Eligibility Criteria	WIOA Program and Eligibility Requirements	Source Documentation Requirements
<p>Spouse of an Armed Forces Member</p>	<p><u>Category 8 - Spouse of an Armed Forces Member:</u></p> <p>Is the spouse of a member of the Armed Forces on active duty and who is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.</p>	<p>Category 8-Spouse of an Armed Forces Member:</p> <ul style="list-style-type: none"> • Copy of the Permanent Change Station orders • DD-214 of the Armed Forces member • Applicant Statement (see specific requirements on pg. 5) • Pay stubs • Public Assistance Records • Unemployment Insurance Records (accompanied with an applicant statement)
<p>Dislocated Worker Grant (DWG)</p>	<p><u>Category 12 – Dislocated Worker Grant (DWG)</u></p> <p>Dislocated Worker Grant (DWG) eligibility: Individual does not meet criteria outlined for Dislocated Workers in categories 1-8 above, but is an individual that meets DWG eligibility outlined under WIOA Title ID National programs, Sec. 170 National dislocated worker grants, relation to Sec 170(b)(1)(A) workers affected by major economic dislocations or Sec 170(b)(1)(B) workers affected by an emergency of major disaster.</p>	<p>Category 12. Dislocated Worker Grant:</p> <ul style="list-style-type: none"> • Refer to applicable DWG manual or OWD guidance.

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

Please refer to [TEGL 23-19 Attachment 2](#) for Source Documentation Requirements in order to validate the following Data Elements:

WIOA Adult/DW Program (including NDWG)

DATA ELEMENT #	DATA ELEMENT NAME
202	Individual with a Disability
402	Long-Term Unemployed at Program Entry
409	School Status at Program Entry
410	Date of Actual Dislocation
601	Exhausting TANF Within 2 Years(Part A Title IV of the Social Security Act) at Program Entry
704	Foster Care Youth Status at Program Entry
801	Ex-Offender Status at Program Entry
803	English Language Learner at Program Entry
804	Basic Skills Deficient/Low Levels of Literacy at Program Entry
806	Single Parent at Program Entry
807	Displaced Homemaker at Program Entry
808	Eligible Migrant and Seasonal Farmworker Status (WIOA sec. 167)
900	Date of Program Entry
901	Date of Program Exit
907	Recipient of Incumbent Worker Training
908	Rapid Response (DW only)
923	Other Reasons for Exit
1001	Date of First Basic Career Service(Staff-Assisted)
1002	Most Recent Date Received Basic Career Services (Self-Service/Information- Only)
1003	Most Recent Date Received Basic Career Services (Staff-Assisted)
1004	Date of Most Recent Career Service
1005	Most Recent Date Received Staff-Assisted Services (DVOP specialist)
1006	Date Referred to Department of Veterans Affairs Vocational Rehabilitation and
1007	Date of Most Recent Reportable Individual Contact
1200	Date of First Individualized Career Service
1201	Most Recent Date Received Individualized Career Service
1202	Date Individual Employment Plan Created

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

1205	Type of Work Experience
1206	Date Received Financial Literacy Services
1211	Transitional Jobs
1300	Received Training
1302	Date Entered Training #1
1303	Type of Training Service #1
1306	Occupational Skills Training Code #1
1307	Training Completed #1
1308	Date Completed or Withdrew from Training #1
1309	Date Entered Training #2
1310	Type of Training Service #2
1311	Occupational Skills Training Code #2
1312	Training Completed #2
1313	Date Completed or Withdrew from Training #2
1314	Date Entered Training #3
1315	Type of Training Service #3
1316	Occupational Skills Training Code #3
1317	Training Completed #3
1318	Date Completed or Withdrew from Training #3
1319	Established Individual Training Account (ITA)
1332	Participated in Postsecondary Education During Program Participation
1401	Enrolled in Secondary Education Program
1402	Most Recent Date Received Educational Achievement Services
1403	Most Recent Date Received Alternative Secondary School Services
1405	Most Recent Date Received Work Experience Opportunities
1406	Date Enrolled in Post Exit Education or Training Program Leading to a Recognized Postsecondary Credential
1409	Most Recent Date Received Supportive Services
1500	Received Needs-Related Payments
1535	Received Needs-Related Payments
1600	Employed in 1st Quarter After Exit Quarter
1601	Type of Employment Match 1stQuarter After Exit Quarter
1602	Employed in 2nd Quarter After Exit Quarter
1603	Type of Employment Match 2ndQuarter After Exit Quarter
1604	Employed in 3rd Quarter After Exit Quarter

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

1605	Type of Employment Match 3rd Quarter After Exit Quarter
1606	Employed in 4th Quarter After Exit Quarter
1607	Type of Employment Match 4th Quarter After Exit Quarter
1608	Employment Related to Training(2nd Quarter After Exit)
1610	Occupational Code (if available)
1611	Entered Non-Traditional Employment (AD/DW Only)
1612	Occupational Code of Employment 2nd Quarter After Exit Quarter(If available) (AD/DW Only)
1613	Occupational Code of Employment 4th Quarter After Exit Quarter(If available) (AD/DW Only)
1614	Industry Code of Employment 1st Quarter After Exit Quarter
1615	Industry Code of Employment 2nd Quarter After Exit Quarter
1616	Industry Code of Employment 3rd Quarter After Exit Quarter
1617	Industry Code of Employment 4th Quarter After Exit Quarter
1618	Retention with the same employer in the 2nd Quarter and the 4th Quarter
1700	Wages 3rd Quarter Prior to Participation Quarter
1701	Wages 2nd Quarter Prior to Participation Quarter
1702	Wages 1st Quarter Prior to Participation Quarter
1703	Wages 1st Quarter After Exit Quarter
1704	Wages 2nd Quarter After Exit Quarter
1705	Wages 3rd Quarter After Exit Quarter
1706	Wages 4th Quarter After Exit Quarter
1800	Type of Recognized Credential
1801	Date Attained Recognized Credential
1802	Type of Recognized Credential #2
1803	Date Attained Recognized Credential #2
1804	Type of Recognized Credential #3
1805	Date Attained Recognized Credential #3
1806	Date of Most Recent Measurable Skill Gains: Educational Functioning Level (EFL)"
1807	Date of Most Recent Measurable Skill Gains: Postsecondary Transcript/Report Card
1808	Date of Most Recent Measurable Skill Gains: Secondary Transcript/Report Card
1809	Date of Most Recent Measurable Skill Gains: Training Milestone
1810	Date of Most Recent Measurable Skill Gains: Skills Progression
1811	Date Enrolled During Program Participation in an Education or Training Program

VII. ELIGIBILITY and DOCUMENTATION REQUIREMENTS TABLE

	Leading to a Recognized Postsecondary Credential or Employment
1813	Date Completed During Program Participation an Education or Training Program Leading to a Recognized Postsecondary Credential or Employment
1902	Category of Assessment #1
2001	Date of Completion of DWG Services (DWG grant only)
2002	Employed at Completion of DWG Services (DWG grant only)
2004	Received Services through a Disaster Recovery Dislocated Worker Grant (DWG grant only)