



Washington Workforce Training and Education Coordinating Board WA Health Care Worker Training Coalition

PARTICIPANT FILES GUIDANCE

Properly maintained case files are essential to ensure compliance with grant conditions and meet high standards of customer service and programmatic quality.

Participant files are used to show that:

- We are serving the eligible/target population as identified in the grant
- Services to participants are being provided as needed
- Participants are receiving training as needed and progressing toward their employment goal
- All required evidence/documentation is being maintained

What Should Be In Participant Files (Follow links to Back-Up Documentation)

Enrollment and Proof of Eligibility

- [Proof of Eligibility](#)
- [Selective Service Registration \(male only\)](#)
- [Veteran or Spouse of Veteran for Priority of Service](#)
- In-House Enrollment Form: Date used as Program Start Date
- Signed & dated acceptance of EEO/Grievance procedures
- Participant sign-off on rules, expectations (if used in your program)

Case Notes & Services

- Up-to-date case notes (if providing case management services)
 - Must be dated and include mode of contact with participant
 - Ordered in reverse chronological order (newest case note on top)
 - Must be accurate and objective, simple and direct
 - Must evidence contact with participant at least once a month
 - Documents every service, interaction and update, including justification for supportive services expenditures
 - Final case note documents reason for ending the program (ie completed program or exited early because...)
- Up-to-date Supportive Services expenditures, including back-up documentation (if providing supportive services). Please maintain an accurate running total of Supportive Services expenditures in each file.
- Assessments (as applicable)
- Basic Skills training evidence (as applicable)

Training & Employment:

- Proof of training start date
- Proof of training completed
- Proof of certification/credential earned
- Proof participant entered employment
- Proof participant started a new job (even with same employer)
- Proof of employment retention (1st and 2nd quarter after job started)

Other Important Notes About Participant Files

- Files must be kept in a secure, locked area.
- Participant files/case notes should never include the name of any other participant, unless there is a signed waiver on file for both.
- Under this grant, participant files must be kept secure and accessible for three years after the conclusion of grant funding.
- Case notes should be updated at least once a month.



PARTICIPANT BACK-UP DOCUMENTATION REQUIREMENTS AND GLOSSARY

Updated 8-08-2011

PARTICIPANT INTAKE:

In order to be eligible for the WA Health Care Worker Training Coalition training programs, applicants must provide documentation that proves that they meet at least one of the following three eligibility criteria below:

<u>Eligibility Criteria</u>	<u>Definition</u>	<u>Documentation</u> (program staff need to collect and file at least one of the following required documents)
1. Unemployed Workers	Individuals who are without a job and who want and are available to work.	<ul style="list-style-type: none"> ▪ Unemployment Rapid Response List ▪ Notice of Layoff ▪ Public Announcement with Follow-up Cross-Match with UI Records ▪ UI Records ▪ Public Assistance Records (indicating no employment income) ▪ Other “official” documentation (check with Workforce Board grant manager for approval) ▪ <u>Last resort documentation</u> – Detailed written and signed Applicant Self Attestation (program staff will need to note why other official documentation could not be attained)
2. Dislocated Workers	Individuals who have been terminated or laid-off or have received a notice or termination or lay-off from employment; or were self-employed but are now unemployed.	<ul style="list-style-type: none"> ▪ Written Employer Verification (letter, email, etc) ▪ Unemployment Rapid Response List ▪ Notice of Layoff ▪ Public Announcement with Follow-up Cross-Match with UI records ▪ Other “official” documentation (check with Workforce Board grant manager for approval) ▪ <u>Last resort documentation</u> – Detailed written and signed Applicant Self Attestation (program staff will need to note why other official documentation could not be attained)
3. Incumbent Workers	Individuals who are currently working in the health care industry who need training in order to secure full-time employment, advance in their careers, or retain their current occupations.	<ul style="list-style-type: none"> ▪ Pay Stub ▪ Written Employer Verification (letter, email, etc) ▪ State MIS ▪ Case Notes or SKIES records for Current WIA Participants ▪ Other “official” documentation (check with Workforce Board grant manager for approval)
<u>All Males born on or after January 1, 1960</u> must verify Selective Service Registration	<u>Definition</u> Determination of Selective Service registration status for male applicants must be made prior to enrollment in a grant-funded activity or service. Only those male applicants who are in compliance with the registration requirements are eligible to participate in grant-funded activities and services. See the US Department of Labor April 2011 <i>ARRA High Growth and Emerging Industries Grants Selective Service Policy</i> document posted on the <u>sub-grantee resource webpage</u> .	<u>Documentation</u> <ul style="list-style-type: none"> ▪ Acknowledgement Letter ▪ Form DD-214 ▪ Screen printout of the Selective Service Verification available at www.sss.gov ▪ Selective Service Registration Card ▪ Selective Service Verification Form (Form 3A) ▪ Stamped Post Office Receipt of Registration

<p>ALL participants must be eligible to work in the United States</p>	<p>Starting 8/8/2011, determination of eligibility to work in the U.S. must be made prior to applicant enrollment in a grant-funded activity or service. If a participant was enrolled in a grant-funded activity or service before 8/8/2011, determination of eligibility to work in the U.S. should take place immediately. The Workforce Board grant manager should be informed of all participants who enrolled before 8/8/2011 who are found not eligible to work in the United States.</p>		
	<p style="text-align: center;"><u>Required Documentation</u></p> <p>Applicants must present unexpired documents that establish both their identity and employment authorization. Below are lists of acceptable documents. List A includes documents that establish <u>both</u> identity and employment authorization, List B includes documents that establish identity and List C includes documents that establish employment authorization. Program/partner staff need to have proof that applicants possess either one document found in List A <u>OR</u> one document that is found in List B <u>AND</u> one document that is found in List C. Proof that applicants possess these documents should be kept in participant files in one of the following ways:</p> <ul style="list-style-type: none"> • Written Employer Verification (letter, email, etc.) • A photocopy of a completed I-9 form signed by both the employer and the applicant • Photocopies of the actual documents • Other “official” documentation (check with Workforce Board grant manager for approval) 		
	<p style="text-align: center;"><u>LIST A</u></p> <ul style="list-style-type: none"> ▪ U.S. Passport or U.S. Passport Card ▪ Permanent Resident Card or Alien Registration Receipt Card (Form I-551) ▪ Foreign passport that contains a temporary I-551 stamp or temporary I-551 printed notation on a machine-readable immigrant visa. ▪ Employment Authorization Document that contains a photograph (Form 1-766) ▪ In the case of a nonimmigrant alien authorized to work for a specific employer incident to status, a foreign passport with Form I-94 or Form I-94A bearing the same name as the passport and containing an endorsement of the alien’s nonimmigrant status, as long as the period of endorsement has not yet expired and the proposed employment is not in conflict with any restrictions or limitations identified on the form ▪ Passport from the Federated States of Micronesia (FSM) or the Republic of the Marshall Islands (RMI) with Form I-94 or Form I94-A indicating nonimmigrant admission under the Compact of Free Association Between the United States and the FSM or RMI 	<p style="text-align: center;"><u>LIST B</u></p> <ul style="list-style-type: none"> ▪ Driver’s license or ID card issued by a State or outlying possession of the United States provided it contains a photograph or information such as name, date of birth, gender, height, eye color, and address ▪ ID card issued by federal, state, or local government agencies or entities, provided it contains a photograph or information such as name, date of birth, gender, height, eye color, and address ▪ School ID card with a photograph ▪ Voter’s registration card ▪ U.S. Military card or draft record ▪ Military dependent’s ID card ▪ U.S. Coast Guard Merchant Mariner Card ▪ Native American tribal document ▪ Driver’s license issued by a Canadian government authority 	<p style="text-align: center;"><u>LIST C</u></p> <ul style="list-style-type: none"> ▪ Social Security Account Number card other than one that specifies on the face that the issuance of the card does not authorize employment in the U.S. ▪ Certification of Birth Abroad issued by the Department of State (Form FS-545) ▪ Original or certified copy of birth certificate issued by a State, county, municipal authority, or territory of the United States bearing an official seal ▪ Native American tribal document ▪ U.S. Citizen ID Card (Form I-197) ▪ Identification Card for Use of Resident Citizen in the United States (Form I-179) ▪ Employment Authorization document issued by the Department of Homeland Security

If a training program applicant meets eligibility criteria listed above and identifies as a veteran or spouse of a veteran, program staff must verify that the person meets *priority of service* definitions by collecting and filing at least one of the documents listed in that section below. ****Remember, if enrollment eligibility and veteran priority of service eligibility is verified, those applicants meeting both criteria must be enrolled in the training program before any other qualifying applicant.***

	<u>Definition</u>	<u>Documentation</u>
Veteran or Spouse of Veteran Eligibility for Priority of Service	<ol style="list-style-type: none"> 1. An individual who served at least one day in the active military, naval, or air service, and who was discharged or released under conditions other than dishonorable, as specified in 38 U.S.C. 101(2). Active service includes full-time Federal service in the National Guard or a Reserve Component; OR 2. An individual who is: <ol style="list-style-type: none"> b. The spouse of any veteran who died of a service-connected disability; c. The spouse of any member of the Armed Forces serving on active duty, who at the time of application for the priority, is listed in one of more of the following categories and has been so listed for a total of 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; d. The spouse of any veteran who has a total disability resulting from a service-connected disability, as evaluated by the Department of Veterans Affairs; or e. The spouse of a veteran who died while a disability so evaluated was in existence. 	<ul style="list-style-type: none"> ▪ DD-214 ▪ Veterans Data ▪ State MIS records ▪ Other “official” documentation (check with Workforce Board grant manager for approval)
Individuals with Limited English Proficiency	Individuals who have limited ability in speaking, reading, writing or understanding the English language and (a) whose native language is a language other than English, or (b) who live in a family or community environment where a language other than English is the dominant language.	No Documentation Required
Individuals with a Disability	Individuals who have a physical or mental impairment that substantially limits one or more of the person’s major life activities.	No Documentation Required
Individuals with a Criminal Record	This includes individuals who are or have been subject to any stage of the juvenile or criminal justice process, for whom services may be beneficial; or who required assistance in overcoming artificial barriers to employment resulting from a record of arrest or conviction.	No Documentation Required

TRAINING, OTHER SERVICES, EMPLOYMENT AND PROGRAM COMPLETION

<u>Definition</u>		<u>Documentation</u> (program staff need to collect and file at least one of the following required documents in each appropriate section)
Training Program	Grant-sponsored training, including Basic HCA, Advanced HCA, CNA, MA, LPN, ADN, and Nurse Educator programs. Training delivery includes on-the-job training, pre-apprenticeship, apprenticeship, face-to-face classroom training, and online “classroom” training.	(Documentation such as the following is required at both the start of a training program and completion of a training program.) <ul style="list-style-type: none"> ▪ Training Partner Registration Records ▪ Participant school transcript ▪ Other written Training Partner Verification (letter, email, etc.) ▪ Other “official” documentation (check with Workforce Board grant manager for approval)
Other Services	Other Services include: <ol style="list-style-type: none"> a. <u>Basic Skills Training</u>: Training associated with improving skills in English reading, writing mathematics, computer skills, or other skills that are widely required in training and employment settings. b. <u>Assessment</u>: Services that identify an individual’s capabilities and limitations related to successful completion of education/job training activities and attainment and retention of unsubsidized employment. c. <u>Case Management</u>: The provision of a client-centered approach in the delivery of services designed to prepare and coordinate comprehensive employment plans for participants to ensure access to necessary workforce investment activities and supportive services, using, where feasible, computer-based technologies; and to provide job and career counseling during program participation and after job placement. d. <u>Retention and Follow-up</u>: Services provided after a participant’s completion and/or exit designed to ensure successful outcomes and reinforce and stabilize job placement. e. <u>Supportive</u>: Services such as transportation child care, dependent care, housing, and needs-related payments that are necessary to enable an individual to participate in grant activities. 	Back-up documentation and justification for the services and expenditures need to be kept on file. This may include case notes, receipts for paid services, assessment results, etc.

Definition		Documentation (program staff need to collect and file at least one of the following required documents in each appropriate section)
Degree or Certificate Received	Participants who earn a training-related certificate or other credential.	<ul style="list-style-type: none"> ▪ Copy of certificate/credential or award letter ▪ Written Training Partner Verification (letter, email, etc) ▪ Other “official” documentation (check with Workforce Board grant manager for approval)
Entered Employment or Started a New Job	Participants who enter employment or start a new job while enrolled in grant-funded services. This includes: <ul style="list-style-type: none"> • Unemployed or dislocated workers who enter into employment • Incumbent healthcare workers who start a new job, even if new position is with the same employer. **If participant gained an increase in salary, please document and note in narrative reports. 	<ul style="list-style-type: none"> ▪ Copy of “hire letter” ▪ Other written Employer Verification (letter, email, etc) ▪ 1st paystub ▪ Other “official” documentation (check with Workforce Board grant manager for approval)
Employment Retention	Participants who enter employment or start a new job while enrolled in grant-funded services and retain employment in the <u>first quarter</u> AND <u>second quarter</u> after the new job started.	<ul style="list-style-type: none"> ▪ Paystub from first quarter <u>and</u> second quarter after placement ▪ Other written Employer Verification (letter, email, etc.) ▪ Telephone verification with employer noted in file/case notes ▪ Other “official” documentation (check with Workforce Board grant manager for approval)
Completion of all Grant-funded Activities and Services	Participants who successfully complete all training programs and “other services” (see above for definition of Other Services). These participants will not access grant-funded services again.	<ul style="list-style-type: none"> ▪ Case note in participant file.
Early Exit (for cause)	Participants who exit all training programs and “other services” (see above for definition of Other Services) early , due to one of the following reasons: health or medical issues; death; family care; military duty; institutionalization; or transfer/relocation. These participants will not access grant-funded services again and will be manually exited out of the system.	<ul style="list-style-type: none"> ▪ Official Documentation (check with Workforce Board grant manager for approval).
Early Exit (other reasons)	Participants who for any other reason other than listed above leave the program.	<ul style="list-style-type: none"> ▪ Final case note in participant file