

# WIA File Checklist For ALL Clients

Examples of acceptable documentation can be found in DWD Issuances 13-99, Change 1, Eligibility Technical Assistance Guide – WIA Title I-B.

**Social Security Number** ~ *One of the following is required*

- DD-214
- Drivers License (must contain SSN number)
- Employment Records
- IRS Form Letter 1722
- Social Services Agency/Public Assist. Records
- Pay Stub
- Social Security Benefits documents
- Social Security Card
- W-2 Form

**Citizenship/Alien Status** ~ *One of the following is required*

- DD-214
- Alien Registration Card/Work Permit
- Baptismal Record (Place of birth must be shown)
- Birth Certificate
- Food Stamp Records
- Foreign Passport (Must be stamped "Eligible" to work)
- I-9
- Hospital Record of Birth
- Naturalization Certification
- Public Assistance Records
- US Passport

**Selective Service Registration** ~ *One of the following is required* (See also <http://www.sss.gov> to verify)

- Selective Service Registration (SS Verification Form, Form 3A, SS Advisory)
- DD-214
- Opinion Letter, SS Registration Card, or Stamped Post Office Receipt of Registration
- N/A (Females only)

**Age** - *One of the following is required*

- DD-214
- Driver's License
- Social Services Agency Records
- Alien Registration Card/Work Permit
- Baptismal Records
- Birth Certificate
- Foreign Passport
- Hospital Record of Birth
- US Passport
- Federal, State, or Local Government ID Card
- School Records/ID Card

**Individual Status/Family Size** (Issuance 13-99, pages 5 & 6, 8 & 9)

- *One of the following is required; must have documentation for every member of the "family".*

- Applicant Statement (Public Assistance/Social Service Records, etc.) *May use FSD Super Case Family List, which lists all the individuals in the family and SSN.*
- Birth Certificate
- Court Documentation (Includes Divorce Decree and Award Letter)
- IRS Form Letter 1722
- Lease or Landlord Statement
- Marriage Records
- Medical Records
- Statement from a Public Care Facility (i.e. mental hospital, prison)
- Tax Return Supported by IRS Documents (Most recent return supported by Form Letter 1722)

**Low Income Documentation** (Issuance 13-99, pages 5 & 6, 8 & 9. ~ *One of the following is required*

**Low Income:** income for the last 180 days - See Issuance 02-00 for Includable/Excludable Income guidance.)

- Applicant Statement (Public Assistance/Social Service Records, Pay stubs etc)
- Award Letter from Veteran's Administration
- Bank Statements (Direct Deposit)
- Compensation Award Letter
- Court Documentation (Includes Divorce Decree and Award Letter)
- Employer Statement or Contact
- Housing Authority Verification
- Social Security Benefits
- Unemployment Insurance Documents (and/or printouts)
- TANF Agency documentation

OR

**Food Stamps:** *automatically meets low income guidelines*

Social Services Agency Records ~ *Use Food Stamp Print out, must be eligible to receive food stamps in the last 180 days.*

OR

**Homeless:** *considered a family of 1*

- Applicant Statement
- Food Stamp Agency
- Social Services Agency Records
- Statement from Shelter (Including individuals providing temporary shelter)

OR

**Supported Foster Child:** *considered a family of 1*

- Court Documentation
- Social Services Agency Records
- Verification of Payments (Made on behalf of the child)

OR

**Individual with Disabilities**, *considered a family of 1*

- Applicant Statement (In conjunction with observable conditions)
- Child Study Team (In conjunction with observable conditions)
- Drug or Alcohol Rehabilitation Agency Records
- Medical Records (Letters or other such documents must state the specific disability)
- School Records, i.e. Individual Education Plan (IEP)
- Social Services Agency (Letters or other such documents must state the specific disability)
- Social Security Benefits (Social Security Administration disability records)
- Workers Compensation Records
- Vocational Rehabilitation Records
- Sheltered Workshop Certification
- Medical Card

**Additional Documents Required in File**

- File Checklist**
- Commitment of Understanding**
- Signed WIA Attestation**
- Release of Information**
- Complaint & Grievance**
- Summary Sheet of Funding Source**
- Employment Plan**
- Income Verification Form**

**File should also contain documentation and/or case notes:** to record customer’s progress toward reaching the IEP goals, to document need for and the delivery of additional services, to document all contacts with the customer every 30 days, and to report any new information pertaining to the customer’s employability.

**File should also contain (as appropriate):** Work Experience time sheets, pay records and worksite agreements, OJT invoices, pay records and contracts, Classroom Training attendance records and ITA, and documentation of the eligibility for and receipt of Supportive Services or other payments.

**Case notes should include:**

- Customers’ situation, barrier to employment, expectations or needs from the program and goals.
- Documentation that has been completed and placed in file
- **Justification from Core Service Level to Intensive Service Level**
  - Received at least one Core-level service
  - Was unable to obtain or retain employment through intensive service(s)
  - Is appropriate for and in need of intensive services
- **Justification from Intensive Service Level to Training Service Level**
  - Received at least one Intensive-level service
  - Was unable to obtain or retain employment through intensive service(s)
  - Is appropriate for and in need of training
  - Was unable to obtain other grant assistance, or requires assistance beyond other grant assistance programs
  - Has chosen training that is linked to employment opportunity
  - Training is an in-demand occupation and WIA approved

**In Toolbox: Fill out the following tabs:**

Under (The Orange Person) Seeker Tab:

**Seeker Info; Education; Work History;**

Under (The Hand) Seeker Initial Interview Tab:

**Initial Interview** (this should entail a short summary of the client’s situation, how they qualify for the program, and what we hope to accomplish through our services offered)

To the right mark all Resources and Activities that apply to that client

**Resources and Activities:** In each box you chose on the Initial Interview page, list all documentation and comments that pertain to each

Under (The Green Checkmark) Assessment Tab:

**Employment Tab; Education Tab; Support Systems**

Under (The Blue Dollar Sign) Eligibility Tab:

**Application** (once completely filled out, you need to freeze this screen);

**Eligibility** (this WHOLE page must be completed then frozen); Press the check verification box

**Under General Tab:** enter the documentation marked

If all is done properly: a Registration Details Button should pop up.....press that and print for client to sign

**Enrollment** (you should have the choices of whichever programs this client is eligible for: choose the programs you wish to enroll them in ...click on the choice and click Enroll – the enrollment should then show up at the bottom of this page.

If you don’t show anything under the enrollment, you will need to go back and be sure that all the information and tabs are filled out completely and correctly until they do show up.

After Enrollment:

Go to (The Paper with Red Pen) Employment Plan/Enrollment Tab:

Under Employment Tab: You need to fill out: ONet, Goal, Justification

Objectives: Required at Registration are: \_\_\_\_\_

\_\_\_\_\_ then print IEP and have client sign for paper file.

\*\*\*\*\*  
**ADDITIONAL DOCUMENTATION NEEDED DEPENDING ON INDIVIDUAL SITUATION**  
\*\*\*\*\*

**Entering Intensive & Training Services**

- Proof Occupation is **In Demand**
  - \_\_\_ Meric, labor market information (www.meric.org)
- OR
- \_\_\_ Letter of intent to hire from an employer
- OR
- \_\_\_ Applicants statement of willingness to relocate

- Proof of **WIA Approved**
  - \_\_\_ DESE information approval by institution (<https://www.missouricareersource.com/mech>)

If already enrolled in classes, you will need to obtain

- Class Schedule**
- List of all classes** required for that specific certificate, license or degree
- Any Financial Information** (ie: FASFA, charges incurred and due at this time)
- Grades From Last Semester**

**Plant Closure or Substantial Layoff** (13-99, pages 12, 17-19)

- Proof of Closure or Layoff**
  - \_\_\_ Employer Lay-off or Termination Letter or Notice of Plant Closure; OR (verifying that participant was affected by the closure, showing company name and date of lay-off)
- OR
- \_\_\_ Case Notes (Employer phone contact as a last resort);
- OR
- \_\_\_ Letter or notice showing company, date, number laid off, number of employees at normal production who worked 20 hours or more per week, which will verify an employment loss at a single site of employment during any 30 day period for:
  - At least 33% of employees (excluding those working less than 20 hours/week)
  - At least 50 employees (excluding those working less than 20 hours/week)
  - At least 500 employees (excluding those working less than 20 hours/week)

- Employed at Time of Layoff** (13-99, pages 15, 20) Documentation:
  - \_\_\_ Employer Layoff Termination Letter or Notice of Plant Closure (verifying that the participant was affected by the closure, showing company name and date of layoff)
- OR
- \_\_\_ Case Notes (Employer phone contact as a last resort)

\*\* \*\* \*\* \*\* \*\*

**Permanent Layoff or Termination** (13-99, pages 15,17-19) – documentation needed

- Unemployment Insurance Worker Profiling Participant**  
*(if profiled, next 3 items don't need to be documented)*
- Layoff Status**
  - \_\_\_ Employer Layoff Termination Letter or Notice of Plant Closure (verifying that participant was affected by the closure, showing company name and date of layoff )
- OR
- \_\_\_ Case Notes (Employer phone contact as a last resort)
- Unemployment Insurance Status**
  - \_\_\_ Unemployment Benefits Print-Out or Check Stub

OR \_\_\_ Unemployment Insurance Determination Letter

**Unlikely to Return to Previous Occupation or Industry**

\_\_\_ "Choices" (declining occupation)

OR \_\_\_ Closure in similar industry (in the same region)

OR \_\_\_ Coordinators Statement

OR \_\_\_ Decreased Job Openings for an Occupation or Industry

OR \_\_\_ DWD (no recent job orders)

OR \_\_\_ Exhausted Unemployment Insurance (Should this go under Insurance Status)

OR \_\_\_ MOICC or local Chambers of Commerce (occupation or industry is declining)

OR \_\_\_ Other (approved by DWD)

\*\* \*\* \*

**Dislocated Self Employed**

**Evidence of Self Employment** (13-99, pages16, 22-23)

\_\_\_ Business Tax Return

OR \_\_\_ Business License

OR \_\_\_ And other legal document which shows self-employment and which could be verified by phone

**Evidence of Business Failure** (13-99, pages16, 22-23)

\_\_\_ Applicant Statement

OR \_\_\_ Bank Loan Denial Letter (inability to secure capital)

OR \_\_\_ Insurance Records

OR \_\_\_ Disaster Declaration, if due to natural disaster

OR \_\_\_ Bankruptcy or foreclosure records

OR \_\_\_ General economic conditions.

May not have filed bankruptcy, but is willing to attest that it is no longer in business. Additional documentation below may be necessary.

Failure of one or more businesses to which the self-employed supplied a substantial portion of services

OR  Failure of one or more businesses from which the self-employed individual obtained a substantial proportion of products or services

OR  Substantial layoff from or permanent closure of one or more plants or facilities that support a significant portion of the state or local economy

OR  Depressed prices or markets for the articles produced by the self-employed individual.

\*\* \*\* \*

**Displaced Homemaker**

**Has Been Dependant** (13-99, pages16, 23)

\_\_\_ Applicant Statement

OR \_\_\_ Divorce or Separation decree

OR \_\_\_ Advisory Option Letter, SS Registration Card, or Stamped Post Office Receipt of Registration)

**Unemployed or Underemployed** (13-99, pages16, 23)

- \_\_\_ Applicant Statement
- OR**
- \_\_\_ Pay Stubs
- OR**
- \_\_\_ Public Assistance
- OR**
- \_\_\_ Unemployment Insurance Records

\*\* \*\* \*\* \*\* \*\*

**METP**

- Letter client received in the mail**
- FA333 Family Services**
- Employment Plan: must be signed and in paper file**
- Job Search Log**
- Complaint & Grievance**

METP Toolbox Procedures

Under (“Binoculars”) Find Seeker Tab:

- Tabs:
- Seeker Information – all
- Desired Job Title – all
- Edu/Cert – as appropriate
- Work History

Under “Green Check Mark” Assessment Tab:

- Employment Tab**
- Current Employment – 1<sup>st</sup> three lines
- Job Seeking Skills – lines 1 & 4
- Job Keeping Skills – lines 1 thru 6

**Education Tab**

- Education History – Lines 1 thru 6 & Skill enhancement question
- Employment Skills – as appropriate

**“Support System” Tab**

**Transportation block – all lines**

Under “Pen & Paper” Employment Plan/Enrollment Tab

- Enrollment
- Referral System Program – check mark next to Mo. Emp. & Trng. Program
- If no referral shown, click on Search MQ (only if you have FA333 from seeker)
- Click on Enroll – Save

Employment Plan

- ONet
- Goal
- Justification
- Save – Job Search log pops up – print it- 2 times

- Complete Objective, Service & Task 1 – Save
- Click on Print Plan – print

All of this in the METP Desk Aid