



NORTH CENTRAL COUNTIES CONSORTIUM

ELIGIBILITY AND CASE MANAGEMENT PROCESS PROCEDURE

DECEMBER 2011 - REVISION

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ELIGIBILITY AND CASE MANAGEMENT PROCESS PROCEDURE

- I. **Introduction** This procedure is intended to help Service Provider/One Stop staff determine the required eligibility criteria and documentation for individuals to be served under the Workforce Investment Act and the minimum requirements for local case management processes. This revised procedure includes new requirements set forth by the State to resume the collection and maintenance of eligibility documents for WIA Adult and Dislocated Worker programs within the Integrated Service Delivery (ISD) model. This document separates the varying requirements for each situation.
- II. **Background** Because of the many changes through the ISD and the incorporation of case management processes requirements this document replaces the Eligibility Determination and Verification Procedure with revision date of January 2010.
- III. **References**

Title I Eligibility TAG

WIA Title 29 Section 2801, et seq.

Title 20, Code of Federal Regulations (CFR), Part 652, et al.

DOL, ETA TEGL #17-05

EDD WIAD04-18: Title I Eligibility

EDD Directive WSD09-18, WIA Verification and Documentation Requirements for Client Eligibility

EDD Information Notice WSIN09-54, WIA JTA System Client Forms Handbook 4/2010

NCCC Policy #2, Definition of Self-Sufficiency for Employed Workers

NCCC Administrative Procedure #5, Selective Service Procedure

NCCC Administrative Procedure #7, Nondiscrimination EO Manual

NCCC Administrative Procedure #8, Supportive Service Procedure

NCCC Service Provider Operator Contracts

IV. **Eligibility for WIA Programs**

A. *General Eligibility Criteria* – all individuals seeking WIA services must have the right-to-work in the United States and all males 18 years of age and older, born after 12/31/59 must be registered for Selective Service/Military Status:

1. Eligible to Work (right-to-work): One Stops must verify an individual's authorization to work prior to enrollment into any WIA funded programs. It is not necessary to document and verify citizenship in addition to documenting an individual's status as eligible to work. Citizenship reported on the WIA Application is a demographic reporting element required from time to time by the State for research and analysis. Requirements and procedures for documenting an individual's authorization to work are published in the U.S. Department of Homeland Security's Employment Eligibility Verification Form (Form I-9). All¹ documents used to satisfy list A or C of the I-9 must be current and must be updated if expired during participation in the WIA program.
2. Selective Service/Military Status: All males who are at least 18 years of age and born after December 31, 1959 and who are not in the armed services on active duty, must be registered for

¹ All documents used to establish right to work, that have expiration date, must be current and updated during participation
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the Selective Service². A youth who becomes 18 years of age while participating in a WIA program must register within 30 days of his 18th birthday.

In addition to the General Eligibility criteria each funding source has unique eligibility requirements that must be adhered to. Following are brief descriptions of the formula funding streams eligibility criteria.

B. *Youth Program* – criteria that apply to individuals seeking services under the WIA Youth program:

1. 14 to 21³ years old (at time of registration/enrollment); AND
2. Low-income⁴; AND
3. Is an individual who has one or more of the following barriers⁵:
 - i. Deficient in basic literacy skills⁶ or
 - ii. A school dropout⁷ or
 - iii. Homeless Youth⁸ or a runaway, or a foster child or
 - iv. Pregnant or parenting⁹ or
 - v. An offender¹⁰ or
 - vi. An individual who requires additional assistance, defined in the NCCC Sixth Youth Eligibility Barrier¹¹ to complete an educational program, or to secure and hold employment.

C. *Youth Program Non-Economically Disadvantaged Youth* – no more than 5% of total participants served during the program year may be individuals who do not meet the economic eligibility criteria. For non-economically disadvantaged youth seeking services under the WIA Youth Program must meet the following criteria:

1. 14 to 21 years old (at time of enrollment/registration); AND
2. Is an individual who is one or more of the following¹²:
 - i. A school dropout¹³ or
 - ii. Basic skills deficient or
 - iii. Individuals with educational attainment that is one or more grade levels below the grade level appropriate to the individual's age or
 - iv. Pregnant or parenting or
 - v. Possess one or more disabilities, including learning disabilities or
 - vi. Homeless or runaway or
 - vii. An offender or
 - viii. An individual who requires additional assistance to complete an educational program, or to secure and hold employment (*see Attachment II for definition of Sixth Youth Eligibility Barrier*).

² IF a required applicant did not register before their 26th birthday please see NCCC Admin Procedure #5, Selective Service.

³ Special projects may differ and instructions for age parameters will be noted

⁴ [See definitions for low-income](#)

⁵ At least one barrier must be documented

⁶ See definitions for [deficient in basic literacy skills](#)

⁷ See definitions for [school dropout](#)

⁸ See definition for [homeless youth](#)

⁹ See definitions for [pregnant or parenting](#)

¹⁰ See definitions for [offender](#)

¹¹ See definitions for [Sixth Youth Eligibility Barrier](#)

¹² At least one barrier must be documented

¹³ See definition for [school dropout](#)

D. *Adult Program* – criteria that apply to individuals seeking services under the WIA Adult Program:

- 18 years or older (at time of registration/enrollment)

E. *Dislocated Worker Program* – there are four eligibility categories that apply to individuals seeking services under the WIA Dislocated Worker Program:

1. **TERMINATED OR LAID-OFF** - Has been terminated or laid off, or who has received a notice of termination or layoff, from employment; **AND**
 - a. is eligible for or has exhausted entitlement to unemployment compensation; **OR**
 - b. has been employed for a duration sufficient to demonstrate attachment to the workforce¹⁴, but is not eligible for unemployment compensation due to insufficient earnings or having performed services for an employer that were not covered under the State unemployment compensation law¹⁵; **AND**
 - c. is unlikely to return¹⁶ to a previous industry or occupation.
2. **CLOSURE OR SUBSTANTIAL LAYOFF** –
 - a. Has been terminated or laid off, or has received a notice of termination or layoff, from employment as a result of any permanent closure or any substantial layoff¹⁷ of a plant, facility, or enterprise; **OR**
 - b. Is employed at a facility at which the employer has made a general announcement¹⁸ that such facility will close within 180 days.
 - c. For purposes of eligibility to receive services other than intensive, training or supportive services, is employed at a facility at which the employer has made a general announcement that such facility will close.

Discussion: Individuals who have *not* been terminated/laid off or have *not* received a notice of termination/layoff BUT the employer has made an announcement that the facility will close may still be served. If the general announcement of closure is within 180 days the participant may receive all allowable WIA services. BUT if the general announcement states the facility closure is beyond 180 days OR the announcement has no date the participant may only receive core services (with no supportive services). The Federal Regulations pertaining to WIA state that intensive and core services may be offered to individuals who either: “1. have received a layoff notice or; 2. six months (180) days before layoff is employed at a facility that has made a general announcement that it will close within 180 days.”

3. **SELF-EMPLOYED** – Was self-employed (including employment as a farmer, a rancher, or a fisherman) but is unemployed as a result of general economic conditions¹⁹ in the community in which the individual resides or because of natural disasters.
4. **DISPLACED HOMEMAKER** – Is a displaced homemaker²⁰ who is unemployed and is experiencing difficulty in obtaining employment²¹ or under-employed²² and is experiencing

¹⁴ See definition for [sufficient attachment to the work force](#)

¹⁵ If individuals are determined to be ineligible for UI benefits due to noncompliance with the unemployment insurance program, they are also ineligible for the DW program.

¹⁶ See definition for [unlikely to return](#)

¹⁷ See definition for [substantial layoff](#)

¹⁸ See definition for [general announcement](#)

¹⁹ See definition for [general economic conditions](#)

²⁰ See definition for [displaced homemaker](#)

²¹ See definition of [unemployed & is experiencing difficulty in obtaining employment](#)

difficulty in upgrading employment.

5. VOLUNTARILY TERMINATED EMPLOYMENT AND UI ELIGIBLE – Was employed and has voluntarily terminated employment and has been determined eligible to receive UI benefits and unlikely to return to previous occupation through EDD UI profiling.

F. *Special Projects* – criteria for special project eligibility will be given in separate instructions for the grant.

V. Acceptable Evidence of Eligibility

Before individuals can be enrolled into WIA activities staff must determine that the person is eligible to receive services for the funding source to be enrolled in by reviewing eligibility documents.

There are different types of eligibility verification²³ methods that can be used. These methods are listed and described below. Attachment III of this document provides a sample of WIA eligibility criteria with recommended documentation sources. Attachment IV of this document is a list of Eligibility Verification Forms (EV) included in this procedure. Three of these forms are Verification Checklists to assist in ensuring that appropriate documentation is collected for each required eligibility item. Eligibility verification methods include:

A. Documentation

Documentation means to maintain on-file physical evidence, or scanned documents, which are obtained during the verification process.

B. Documentation Inspection

The eligibility documents MUST be inspected and reviewed by staff and recorded on the Telephone Verification/Document Inspection (EV08) form. Information recorded on this form must include all the applicable information to enable a monitor and/or auditor, to adequately verify eligibility, i.e. document name, contact name, telephone numbers, addresses, etc. and signed by staff. **OR**

C. Applicant Statement²⁴

The use of a NCCC Applicant Statement form is allowable to document items that are not verifiable or are not readily available after reasonable efforts have been made. In taking an applicant's statement it is not necessary to obtain corroboration unless there is reason not to believe the applicant. The use of the NCCC Applicant Statement is limited to: Number in Family; Low or Non-Income; Disability; Homeless; School Dropout; Pregnant or Parenting; Homeless/Runaway; Offender; and some Dislocated Worker criteria.

D. Telephone Verification

The Telephone Verification/Document Inspection form is used to verify eligibility information through governmental, private and/or social service agencies. Information recorded on this form must include all the applicable information to enable a monitor and/or auditor, to adequately verify eligibility, i.e. document name, contact name, telephone numbers, addresses, etc. and signed by staff.

²² See definition of [under-employed difficulty in upgrading employment](#)

²³ Verification means to confirm an eligibility requirement through examination of official documents, e.g., birth certificates, public assistance records, or speaking with official representatives of cognizant agencies.

²⁴ See definition for [applicant statement](#)

VI. Maintenance of Eligibility Documents

Maintenance of eligibility documents may be hard copy in the participant's file or the document may be scanned. A scanned document or hard copy of a document must be kept in a way that the security of the information cannot be compromised. If a document is scanned it must be made available for any monitoring or auditing that is required by the WIA program.

Adult and Dislocated Worker Programs – For individuals applying for the Adult or Dislocated Worker Programs staff must review and maintain in the participant's file all required eligibility items (including the General Eligibility documents).

Youth Program – For individuals applying for the Youth Program staff must review and maintain in the participant's file all required eligibility items (including the General Eligibility documents).

VII. Priority of Service

Priority of service must be given in all WIA programs to Veterans and Eligible Spouses of Veterans²⁵ that otherwise meet the eligibility requirements for the program.

All Programs – Staff must review and maintain in the participant file the DD-214 or Veterans Administration Letter or Record.

At this time the NCCC Workforce Investment Board has not determined that Adult Program funding is limited and a priority of service is not in place to recipients of public assistance and other low-income individuals. If it is determined that funding is limited Service Providers will be notified of such a policy.

VIII. Enrollment

After eligibility has been determined and documented and the decision has been made to enroll the participant into the NCCC WIA program(s), the participant information must be data entered into the JTA system. Please note it is a requirement of the State that the WIA Application must be signed by the participant and parent or guardian (if applicable), and maintained. NCCC has established a 90 day time limit from the date of the WIA Application to the date of the first enrollment into an activity.

Adult and Dislocated Worker Programs – Whether WIA client actions are completed directly into the VOS system or pen and paper (then VOS entry) a signed copy of the application must be in the file.

Youth Programs – Whether WIA client actions are completed directly into the VOS system or pen and paper (then VOS entry) a signed copy of the application must be in the file.

Thirty (30) days may elapse between the reviewer signature and the date of enrollment. NCCC Program Operators have ten (10) days to enter onto the VOS all such actions after they have taken place.

²⁵ See definition for [Spouse of Veteran](#)
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IX. Civil Rights

It is required that all participants be given the Civil Rights/Grievance form at the time of intake.

Adult and Dislocated Worker Programs – The Civil Rights/Grievance form is required to be signed and maintained.

Youth Programs – The Civil Rights/Grievance form is required to be signed and maintained.

X. Eligibility Criteria for Core, Intensive or Training Services (Adult and Dislocated Worker Programs)

WIA has three tiers of service for the Adult and Dislocated Worker Programs. Participants may receive the three levels of service concurrently. The determination that a participant moves from core to intensive to training can be made without regard to how long the individual has been receiving core or intensive services.

A. Core Services (WIA Section 134(d)(2) and 20 CFR 663.145)

Staff-assisted core services may be provided to any enrolled adult who has met the general eligibility criteria in section IV.A.1.& 2.

B. Intensive Services (WIA Section 134(d)(3) and 20 CFR 663.220)

Adults and Dislocated Worker program participants who are:

1. Unemployed and have received at least one core service; are unable to obtain employment through core services, and are determined by a One Stop operator to need intensive services; or
2. Employed at date of participation²⁶ and have received at least one core service and are determined by a One Stop operator to be in need of intensive services to obtain or retain employment.

Employed individuals are not eligible for an intensive service unless they do **NOT** meet the definition self-sufficiency²⁷.

C. Training Services (WIA Section 134(d)(4) and 20 CFR 663.310)

Employed and unemployed Adult and Dislocated Worker program participants who:

1. Meet eligibility requirements for intensive services, have received at least one intensive service, and can't obtain or retain employment through such services;
2. Have been determined by a One Stop operator or One Stop partner, to be in need of training services and to have the skills and qualifications to successfully complete training;
3. Select a training program that is directly linked to demand occupations or to job opportunities

²⁶ See definition for [employed at date of participation](#)

²⁷ See definition for [self-sufficiency](#)

- either in the local area or an area to which the individual is willing to relocate;
4. Are unable to obtain other grant assistance to pay for the training, or require WIA assistance in addition to other assistance they have obtained; and
 5. Are eligible based on the local priority system.

XI. Economic Eligibility Criteria

The WIA formula Youth program is based on serving youth who are low income and/or receiving public assistance. In order to document this status the following must be verified:

- A. For Dependent Youth²⁸ or participant
 1. Family²⁹ size **and**
 2. Family Income – total income for each family member for the six-month period immediately preceding application is under the poverty guidelines/lower living standards **or**
 3. Food Stamps – the individual is a member of a family that receives, or has been determined within the six-month period immediately preceding application eligible to receive food stamps **or**
 4. Cash Public Assistance – the individual is a member of a family that receives cash payments under a federal, state, or local income-based public assistance program during the month of application.
- B. Non Dependent Youth³⁰/participant
 1. Family size **and**
 2. Income – total income for the six-month period immediately preceding application is under the poverty guidelines/lower living standards **or**
 3. Food Stamps – the individual receives, or has been determined within the six-month period immediately preceding application eligible to receive food stamps **or**
 4. Cash Public Assistance – the individual receives cash payments under a federal, state, or local income-based public assistance program during the month of application.
- C. Individual with a Disability³¹ – individuals with a disability shall be considered a family of one for income eligibility purposes
 1. Disability status **and**
 2. Income - total income for the six-month period immediately preceding application is under the poverty guidelines **or**
 3. Food Stamps – the individual receives, or has been determined within the six-month period immediately preceding application eligible to receive food stamps **or**
 4. Cash Public Assistance – the individual receives cash payments under a federal, state, or local income-based public assistance program.
- D. Foster Child – Youth Programs Only
 1. Status as a foster child for which state or local government payments are made on their behalf **and**
 2. No other documentation for income or family size is needed.
- E. Homeless – Youth Programs Only

²⁸ See definition for [dependent youth](#)

²⁹ See definition for [family](#)

³⁰ See definition for [non-dependent youth](#)

³¹ See definition for [Individual with a disability](#)

1. Status as being homeless **and**
2. No other documentation for income or family size is needed.

Special Projects – It may be determined that in special projects economic eligibility must be determined for adults participating in the grant. In order to document this status verification would follow the Non Dependent Youth criteria above.

XII. Determination of Income Eligibility

Family income is defined as the six-month period prior to application for the program involved. To determine income for the WIA program, the following guidelines should be applied:

- Family income is the sum of all money received from all resources by all family members, except for specific exclusions, as defined in this procedure.
- Determine the six-month family income by combining the total sums of all reportable income for each family member for the **six months** immediately prior to the **date of application**.
- For the purpose of calculating family income an average pay method may be used whereby the average of one pay stub (if the year to date amount is visible) or 2 or more pay stubs are averaged for the purpose of determining six months of family income.

XIII. Additional Requirements for Youth Programs

Out of School Youth – Please note that 35% of the total Youth program allocations must be spent on out-of-school youth. (WIA Section 129I (4)(A) and WIA Final Regulations Section 664.320) The term “out-of-school youth” means –

- An eligible youth who is a school dropout; **or**
- An eligible youth who has received a high school diploma or a GED, **but** is basic skills deficient, unemployed, or underemployed except those attending post secondary education. If the youth is attending post secondary education, then they must be basic skills deficient to be considered an out-of-school youth

Authorizing Minors to Participate in WIA – For purposes of authorizing a minor (except an emancipated minor³²) to participate in WIA, the signature of a parent, guardian or other responsible adult is required on the WIA Application.

The “other responsible adult” provision allows minors to participate in the program with the authorization of individuals other than a parent or guardian. The definition of “other responsible adult” includes:

- A relative, other than a parent or guardian, with whom the individual resides;
- An adult who has been delegated custodial or administrative responsibilities in writing, either temporarily or permanently, by the parents (for example, a family friend) or by an appropriate agency (for example, a foster parent);

³² See definition for [emancipated minor](#)

- An agency or organization representative who is in a position to know the individual's circumstances (i.e., that he or she cannot get a parent's or guardian's signature authorizing participation), for example, a clergy person, a school teacher or other school official, a probation or other officer of the court;
- A representative of an agency which is providing support services to the individual and who is aware of the individual's circumstances (i.e., that he or she cannot get a parent's or guardian's signature authorizing participation) for example a social worker, a homeless shelter official, a child protective worker, a health clinic official; or
- NCCC determined category of responsible adult: "An unrelated person (who is legally considered an adult) who has knowledge of the minor's situation, and with whom the minor resides and receives support on a routine basis."

XIV. Ineligible Participants

- A. If a participant is discovered to be ineligible for the program that she/he is enrolled in, the participant's information should be reviewed for eligibility under other funded WIA programs or eligibility categories, including eligibility under the Youth 5% category. If the participant is found eligible for another category or program, she/he should promptly be enrolled in the appropriate category or program.
- B. If the participant is found ineligible for all WIA programs, the participant should receive a prompt written termination notice. The participant should also receive written information on her/his rights and grievance procedures.
- C. In all cases, the Service Provider should assist the individual in obtaining employment information and/or referrals to other One Stop partners and local service providers.

XV. Case Management Process

Case management is a client centered approach to 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. Case management is an ongoing process that involves active engagement of the participant by the assigned Case Manager (WIA Section 101 (5), NCCC Service Provider contract).

- A. CASE NOTES: Case management efforts must be documented through case notes at least every 90 days. Case files for Youth participants and Adult or Dislocated Worker participants who are receiving intensive and/or training must have documentation in the form of case notes. Please note that every 90 days is the maximum length of time between documenting services to participants. Please be mindful that case note entries should be made regarding any significant contact with the participant i.e. supportive service requests/payments, change in training plan, emerging needs.

All case notes must be documented in the VOS system with the exception of medical information. Case notes should only include the facts; describe the behavior and events only. Case notes should NOT contain the One Stop staff's opinion or diagnosis. Customer privacy must be maintained and the One Stop must ensure:

1. all confidential information is discussed in private;

2. control of participant records is maintained at all times;
3. medical information MUST be kept separate from the participant's case file and NOT documented in the VOS System;
4. participant information is shared on a "need to know basis only"³³

Note: One Stop employees are not medical professionals and should never attempt to diagnose any customer's condition, or offer opinions about medical treatment.

- B. **INDIVIDUAL SERVICE STRATEGY:** It is a requirement of the WIA to develop a strategy with the participant that identifies, at a minimum, the *employment goal, achievement objectives and services to help the participant to succeed*. The ISS is an ongoing strategy jointly developed by the participant and staff.

Adult and Dislocated Worker Programs – It is required of the Service Provider that an ISS is developed and recorded to successfully serve individuals who are served beyond core services. The local system must be in place that assures that the service strategy for individual participants, at a minimum, includes the employment goal, achievements objectives and services provided. If the participant is served in a training service the ISS must also address:

1. the participant has the skills and qualifications to successfully complete a training program (663.310(b) and
2. the training is directly linked to existing employment opportunities (663.301(c) and
3. it was determined that other funding is unavailable and the need for WIA funds exists (663.310(d).

The NCCC ISS document is not required to be used, but a local system must be in place that assures that the service strategy for the individual is documented, either by the NCCC document, locally developed document or case notes.

Youth – The NCCC ISS document is required for all Youth participants. Please see NCCC Administrative Procedure No. 19, Individual Service Strategy Procedure.

Special Projects – Direction will be released for each special project regarding ISS requirements.

- C. **BUDGET STATEMENT:** For some WIA programs it is required to document the participant's need to receive services that involve financial reimbursement/payments/tuition support. NCCC Service Providers were given flexibility to develop their own budget statement form, at a minimum the following information must be included:

1. Total income compared to total monthly expenses (we do not care how you itemize these figures) to document the need for support;

For training service(s) only the budget statement must also include:

2. Participant has been advised that if pursuing classroom training, a student loan could be needed and result in personal indebtedness;
3. Participant has been advised of other financial aid programs/grants;

4. If the participant has applied/received other non-WIA financial aid (if yes list type, amounts and purpose of aid);
5. If the participant is receiving assistance from any other agencies (if yes list the agency name, amounts, and purpose of support).

If the budget statement does NOT show a deficit after calculating the income and the expenditures you must rationalize the need for WIA funding. A case note must also explain the need.

Adult and Dislocated Worker Programs – Participants who are or will receive Workforce Investment Act support (training services, supportive services, Work Experience) a budget statement must be completed.

Youth –A budget statement is not required for youth programs.

Special Projects – Direction will be released for each special project regarding budget statement requirements.

- D. PROGRAM EXIT: Hard exits are required for all WIA programs. Once a participant has completed all services a WIA Exit must be completed to record exit information. The use of Soft Exits for WIA Adult, Dislocated Worker, Youth and Special Projects is not allowed and should be avoided by timely case management practices and setting WIA alerts on the VOS system for projected end dates and soft exits. Please see definition in this document for Exclusions from Common Measures for exit codes that remove participants from exit.

For participants no longer receiving WIA services and have exited the program, **the case file must** include all the following information and forms:

<i>WIA Application</i>	<i>All Programs – The WIA Application must be signed;</i>
<i>WIA Enrollment/Registration</i>	<i>All Programs - The WIA Enrollment/Registration (Case Participation Record on VOS) with all activities closed;</i>
<i>WIA Exit</i>	<i>All Programs - The WIA Exit (Closure/Outcome Report on VOS);</i>
<i>WIA Follow-Up</i>	<i>Adult and Dislocated Worker Program – Post program follow-up contact is not required for adult programs. The exception is if the Follow-Up form is used to report supplemental data or to exclude the individual from performance;</i> <i>Youth Programs – It is required to complete and copy to the file Follow-Up forms for the 1st, 2nd, and 3rd quarter after exit;</i>
<i>Literacy and Numeracy Record</i>	<i>Youth Programs - The WIA Youth Test Scores (Literacy/Numeracy Record on VOS);</i>
<i>Case Notes</i>	<i>All Programs – All case notes related to WIA services.</i>

E. PROGRAM FOLLOW-UP SERVICES:

Adult and Dislocated Workers – Who are found in unsubsidized employment during the quarter after exit may receive follow-up services to ensure continued unsubsidized employment; placement or replacement services; intervention to resolve potential or actual problems with employer. Follow-up services may be made available for up to one year after the exit date.

Youth – All exited youth must receive some form of follow-up services for a minimum of 12 months after exit. The type of service(s) provided must be determined based on the needs of the individual.

F. FOLLOW-UP CONTACTS:

Adult and Dislocated Worker Programs – Post-program follow-up contact is not required for Adult and Dislocated Worker programs. A WIA Follow-up form may be submitted if it is found the individual falls into a category that excludes them from the common measures²⁷. In box 5 of the Follow-up form the exclusion exit code should be entered and submitted or data entered into the JTA system.

Youth – It is still required to complete and submit WIA Follow-up forms on all youth who have exited the program for the 1st, 2nd, and 3rd quarters after exit. The timing of the follow-up interview will be the first day of the quarter after the follow-up quarter.

XVI. System Validation and Monitoring

NCCC program monitors will be responsible for the periodic review of the participant's eligibility based upon the information and eligibility documents contained in the participant's file or on the JTA system.

ASSESSING AND DETERMINING INCOME

INCLUDED AS INCOME

1. Money, wages and salaries before any deductions
2. Net receipts from non-farm self-employment (receipts from a person's own unincorporated business, professional enterprise, or partnership after deductions for business expense)
3. Net receipts from farm self-employment (receipts from a farm which one operates as an owner, renter, or sharecropper, after deductions for farm operating expenses)
4. Regular payments from railroad retirement, strike benefits from union funds, worker's compensation, and training stipends
5. Alimony
6. Military family allotments or other regular support from an absent family member or someone not living in the household
7. Pensions whether private, government employee (including military retirement pay)
8. Regular insurance or annuity payments (including state disability insurance)
9. College or university grants, fellowships, and assistant-ships
10. Dividends, interest, net rental income, net royalties, periodic receipts from estates or trusts
11. Net gambling or lottery winnings
12. Wages received from California Conservation Corps
13. Severance payments
14. Terminal leave pay
15. Payments received under The Trade Act
16. Soil Bank payments
17. Agriculture Crop Stabilization payments
18. Black Lung: If one time payment for injury – excluded
If periodic payment – included
19. Social Security Disability Insurance Payments
20. WIA Title I – OJT Wages

EXCLUSIONS FROM INCOME

1. Unemployment Insurance
2. Child support payments including foster care child payments and adoption assistance payments.
3. Welfare payments (including TANF, SSI, RCA, and GA)
4. Social Security Old Age and Survivors' Insurance benefit payments.
5. Financial assistance under Title IV of the Higher Education Act, i.e., Pell Grants, Federal Supplemental Educational Opportunity Grants and Federal Work Study. Plus, Stafford and Perkins loans like any other kind of loan are debt and not income.
6. Needs-based scholarships assistance
7. Veterans Benefits
8. Income earned while the veteran was on active military duty and certain other veterans' benefits, i.e., compensation for service-connected disability, compensation for service-connected death, vocational rehabilitation, and education assistance
9. Capital gains
10. Any assets drawn down as withdrawals from a bank, the sale of property, a house or a car
11. Tax refunds, gifts, loans, lump-sum inheritances, one-time insurance payments, or compensation for injury
12. Non-cash benefits such as employer paid fringe benefits, food or housing received in lieu of wages, Medicare, Medicaid, Food Stamps, school meals, and housing assistance
13. Allowances, earnings and payments to individuals participating in programs under this Act (except OJT wages) shall not be considered as income for the purposes of determining eligibility for and the amount of income transfer and in-kind aid furnished under any federal or federally assisted programs based on need.

Individuals normally receive wages or income payments under one of the following increments.

STRAIGHT OR SALARY—The straight pay is income received without variation in the gross pay from pay period to pay period. The information may be provided in a series of pay stubs or one, cumulative pay stub. The weekly gross pay is multiplied by 52 to determine the annual gross wages; bi-weekly is multiplied by 26; bi-monthly is multiplied by 24; and monthly is multiplied by 12.

Example 1: Bi-weekly pay stubs indicate a gross amount of \$548.

$26 \times \$548 = \$14,248$ is the annualized gross income

Example 2: Year to Date earnings \$16,812 with bi-monthly payment. There were 18 bi-monthly payments of \$934.

$16,812 \div 18 = 934$

$24 \times \$934 = \$22,416$ is the annualized gross income

VARYING—When reported earnings vary from pay period to pay period, the average of the earnings submitted is annualized. The earnings may be submitted on a number of pay stubs or on one, cumulative pay stub.

Example: Six weekly pay stubs report the following gross earnings: \$534, \$475, \$398, \$534, \$498, and \$534.

Add: $\$534 + \$475 + \$398 + \$534 + \$498 + \$534 = \$2,973$

Divide: $\$2,973 \div 6 = \495.50 is the average gross weekly earnings

Multiply: $\$495.50 \times 52 = \$25,766$ is the annualized gross income

INTERMITTENT—Earnings are varied and include periods of unemployment. With as much data as possible, annualized income is determined by adding the reported earnings.

DEFINITIONS

Applicant Statement - Service Providers and applicants must make reasonable efforts to document eligibility documents for WIA-funded programs. However, applicant statements may be used when an item is unverifiable or it is unreasonably difficult for the applicant to obtain. NCCC has developed applicant statement forms that must be used. In taking an applicant's statement, it is not necessary to obtain corroboration unless there is reason not to believe the applicant.

In order to utilize the applicant statement as documentation the following requirements must be adhered to:

1. NCCC's applicant statement form must be used;
2. Use of the applicant statement is limited to the following instances:
 - a. Number in Family
 - b. Low Income
 - c. Disability (observable)
 - d. Homeless
 - e. Runaway
 - f. School Dropout
 - g. Pregnant or Parenting
 - h. Offender
 - i. Substance Abuse
 - j. Terminated or Laid-Off
 - k. Closure or Substantial Layoff
 - l. Self-employed
 - m. Displaced Homemaker

Basic Skills Deficient – the individual has English reading, writing, or computing skills at or below the 8th grade level on a generally accepted standardized test or a comparable score on a criterion-referenced test. *[Reference: WIA 101(4)]*

Deficient in Basic Literacy Skills – this definition may be established at the state or local level, but must include a determination that an individual computes or solves problems, reads, writes, or speaks English at or below grade level 8.9, or is unable to compute or solve problems, read, write, or speak English at a level necessary to function on the job, in the individuals family or in society. *[References: WIA 203(12) and 20 CFR 664.205]*

Dependent Children – individuals, aged 0-21, whose circumstances fall into one of the following categories:

- A. Under the age of 18, who are not an emancipated minor (defined below), and are **living in a single residence with their parent(s) or guardian(s)**.
- B. Age 18-19 who are full-time students in a secondary school or equivalent, and are **living in a single residence with their parents (s) or guardian(s)**.
- C. Age 18-21 who are *not full-time students* in a secondary school or equivalent, and are **living in a single residence with their parents(s) or guardian(s)**, shall have their dependency established according to *locally established policy and procedures*.

NCCC guidelines for establishing dependency include analyzing the following information:

- contributes LESS than 50% of their own support

NOTE: Dependent Children is defined to determine the family size when low-income status is an eligibility requirement for participation in some WIA programs. Family is defined in this procedure.

Displaced Homemaker – an individual who has been providing unpaid services to family members in the home and who has been dependent on the income of another family member but is no longer supported by that income; and is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment. *[References: WIA 101 (10) and 20 CFR 663.120]*

Emancipated Minor – any person under the age of 18 years old who: (a) has entered into a valid marriage, whether or not such marriage was terminated by dissolution; (b) is on active duty with any of the armed forces of the United States of America; or (c) has received a declaration of emancipation pursuant to California Family code 7122. *[References: California Family Code, Section 7002 and TAG; WIA Directive 04-18]*

Employed at Date of Participation – An individual employed at the date of participation is one who:

- A. Did any work at all as a paid employee on the date participation occurs;
- B. Did any work at all in his/her own business, profession or farm;
- C. Worked 15 hours or more as an unpaid worker in an enterprise operated by a member of the family; or
- D. Was not working, but has a job or business from which they were temporarily absent because of illness, bad weather, vacation, labor-management dispute, or personal reasons, regardless of whether paid by the employer for time off, and regardless of whether seeking another job.
- E. **DISLOCATED WORKER Program** – is employed, but falls into one of the below categories is considered “not employed”:
 - a. A notice of termination of employment OR
 - b. The employer has issued a WARN OR
 - c. Other notice that the facility will close OR
 - d. A transitioning Service Member

[Reference: TEGL 17-05]

Exclusions from Common Measures – A participant in any of the following categories, either at the time of exit or during the three-quarter measurement period following the exit quarter may be excluded from common measures:

- Institutionalized – Residing in an institution or facility providing 24 hour support such as prisons or hospitals and is expected to remain for at least 90 days.
- Health/Medical or Family Care – receiving or providing care for a family member with a health/medical condition that precludes entry into unsubsidized employment or continued participation, not temporary conditions or situations lasting less than 90 days.
- Deceased
- Reservist Recalled A member of the National Guard or a military Reserve unit and is called to active duty for at least 90 days
- Mandated Residential Program – For youth only-in the foster care system or another mandated (residential or non-residential) program and has moved from area as part of program.

When using exclusions from common measures exit code the circumstances must be documented in case notes whenever possible, actual documentation should be in the file. [Reference: TEGGL 17-05]

Family – two or more persons 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. Husband and wife
- B. Husband, wife and dependent children
- C. Parent or guardian and dependent children

[Reference: WLA 101(15)]

General Announcement of Plant Closing – One or more of the following sources should be used:

- A. Copy of a printed media article/announcement describing the closure/mass layoff (must include name of the publication and date;
- B. Employer confirmation;
- C. Statement from the employer's bank official, attorney, supplier, accountant, or another knowledgeable individual;
- D. Telephone verification;
- E. Applicant Statement
- F. Valid WARN notice.

[Reference: NCCC definition]

General Economic Conditions – One or more of the following sources should be used:

- A. Copy of a printed media article/announcement describing the closure/mass layoff (must include name of the publication and date;
- B. Applicant Statement;
- C. Decline in industry
- D. Economic downturn in area of business

[Reference: NCCC definition]

Guardian – the term “guardian” includes caregiver relatives. The term applies to situations where an older or younger youth is permanently or indefinitely residing with a family member other than his or her parents or legal guardians. [Reference: TAG; WLA Directive 04-18]

Homeless – one who lacks a fixed, regular and adequate night time residence, or has a primary night time residence that is a supervised publicly or privately operated shelter designed to provide temporary living accommodations; or is residing in a public or private place not designed for or ordinarily used as a regular sleeping accommodation for human beings. [References: WLA10 1(25)(D), Stewart B. McKinney Homeless Assistance Act 103(a) and (b)]

Homeless Youth – one who is 14 – 21 years old and lacks a fixed, regular and adequate night time residence. This includes:

- Youth who are sharing the housing of persons;
- Youth living in motels, camp grounds, cars, emergency and transition shelters;
- Abandoned youth;
- Youth awaiting foster care placement;
- Migratory youth.

Individual with a Disability – an individual with any disability (as defined in Section 3 of the Americans with Disabilities Act of 1990).

“A physical or mental impairment that substantially limits one or more of the major life activities of such individual; a record of such an impairment; or being regarded as having such an impairment”.

Major Life Activities as found in Section 504 of the Rehabilitation Act are defined as those basic activities that the average person in the general population can perform with little or no difficulty. This includes caring for oneself, performing manual tasks, walking, seeing, hearing, speaking, breathing, learning, and working. This may also include, but is not limited to, sitting, standing, lifting and reaching. [References: WLA 101(25)(D); Section 103 of the Stewart B. McKinney Homeless Assistance Act]

Low-Income – an individual who:

- A. Receives, or is a member of a family that receives, cash payments under a Federal, State, or local income-based public assistance program;
- B. Received an income, or is a member of a family that received a total family income, for the 6-month period prior to application for the program involved (exclusive of unemployment compensation, child support payments, public assistance, and old age and survivors insurance benefits received under Section 202 of the Social Security Act that, in relation to family size, does not exceed the higher of-
 1. The poverty line or
 2. 70% of the lower living standard income level;
- C. Is a member of a household that receives (or has been determined within the 6-month period prior to application for the program involved to be eligible to receive) food stamps;
- D. Qualifies as a homeless individual;
- E. Is a foster child on behalf of whom State or local government payments are made; or
- F. Is an individual with a disability and whose own income meets the requirements in items A or B above, and who is a member of a family whose income does not meet the above requirements.

[Reference: WLA Section 101(25)]

Military Selective Service Act – each individual participating in any program or activity established under Title I of WIA, or receiving any assistance or benefit under this Title, must comply with Section 3 of the Military Selective Service Act. [Reference: WLA 189(b)]

Military Spouse and the Unlikely to Return Standard – A military spouse who leaves his/her job to follow their spouse can be served with dislocated worker formula grant funds. When the spouse is unable to continue an employment relationship because of the service member’s permanent change of military station, or the military spouse loses employment as a result of the spouse’s discharge from the military, then the cessation of employment can be considered to meet the termination component of the WIA definition of dislocated workers.

The spouse’s cessation of employment due to the above factors can also be considered to meet the “unlikely to return to a previous industry of occupation” criterion of the WIA definition of dislocated worker. [Reference: DOL TEGL 22-04 and 22-04, Change 1]

Non-Dependent Individual – individuals, aged 18-years old and above may be considered non-dependent for purposes of family size when *not full-time students* in a secondary school or equivalent, and are **living in a single residence with their parent(s) or guardian(s)**:

- contributes MORE than 50% of their own support

NOTE: Non-dependent is defined to determine the family size when low-income status is an eligibility requirement for participation in some WIA programs. Family size definition includes counting members of the family that are “dependent children”. Both family and dependent children are defined in this procedure.

Not Employed – an individual who does not meet the definition of employed or who although employed, has received notice of termination of employment, or has been engaged in stopgap employment since dislocation. (Please note that the definition regarding a person in stopgap employment not being employed is only for dislocated workers) [Reference: TAG; WIA Directive 04-18]

Offender – any adult or juvenile who is or has been subject to any state of the criminal justice process, for whom services under this Act may be beneficial or who requires assistance in overcoming artificial barriers to employment resulting from a record of arrest or conviction. [Reference: WIA Section 101(27)]

Other Responsible Adult - The “other responsible adult” provision allows minors to participate in the program with the authorization of individuals other than a parent or guardian. The definition of “other responsible adult” includes:

- A relative, other than a parent or guardian, with whom the individual resides;
- An adult who has been delegated custodial or administrative responsibilities in writing, either temporarily or permanently, by the parents (for example, a family friend) or by an appropriate agency (for example, a foster parent);
- An agency or organization representative who is in a position to know the individual’s circumstances (i.e., that he or she cannot get a parent’s or guardian’s signature authorizing participation), for example, a clergy person, a school teacher or other school official, a probation or other officer of the court;
- A representative of an agency which is providing support services to the individual and who is aware of the individual’s circumstances (i.e., that he or she cannot get a parent’s or guardian’s signature authorizing participation) for example a social worker, a homeless shelter official, a child protective worker, a health clinic official; or
- NCCC determined category of responsible adult: “An unrelated person (who is legally considered an adult) who has knowledge of the minor’s situation, and with whom the minor resides and receives support on a routine basis.”

Out Of Family Youth – a court adjudicated youth separated from the family (including incarcerated youth), homeless, runaway, and emancipated youth, considered a family of one. *[Reference: TAG; WIA Directive 04-18]*

Out of School Youth – the term “out of school youth” means –

- An eligible who is a school dropout; or
- An eligible who has received a high school diploma or a GED, **but** is basic skills deficient, unemployed, or underemployed except those attending post secondary education. If the youth is attending post-secondary education then they must be basic skills deficient to be considered an out of school youth. *[References: WIA Section 101(33) and TEGL 14-00 Change 1]*

Poor Work History – an individual who has not worked 13 full-time weeks in any 3 month period in the past 12 months. *[Reference: NCCC definition]*

Pregnant or Parenting Youth – an individual who is under 22 years of age and who is pregnant, or a youth (male or female) who is providing custodial care for one or more dependents under age 18. *[Reference: WIA 101(13) and 129(c)(5)(D)]*

Priority of Service to Veterans – NCCC will give priority of service to veterans (and some spouses *[see Spouse of Veteran Definition]*) who otherwise meets the eligibility requirements for the WIA program(s). Priority of service to veterans will be provided within the context of existing policies, operational management, and related work processes. Veterans' priority is required under federal law; however, it is not intended to displace existing eligibility requirements for WIA. An individual must first qualify for WIA before a priority of service can be applied. Use the following guidelines when determining priority for DOL-funded services. *[Reference: TAG; WIA Directive 04-18 and TEGL 5-03]*

School Dropout – an individual who is no longer attending any school and who has not received a secondary school diploma or its recognized equivalent. **(Does not include a youth attending alternative school).**
[References: WIA 101(39) and CFR 20 664.310]

Self-Sufficiency for Employed Workers – in order for an employed worker to be considered in need of intensive and/or training services the individual's hourly wage or family income must not meet the definition of self-sufficiency. NCCC Policy #02 defines self-sufficiency for an employed worker as either:

- For an individual receiving wages that equal \$15.00 per hour OR
- A family income that is above 250% of the federal poverty guidelines OR
- EXEMPT OCCUPATIONS – Health Care Workers: Due to the need to provide upgraded skills training to Health Care Workers the self sufficiency income limit has been waived. This group may receive intensive and/or training services if they do not fall into the two above criteria.

[Reference: NCCC definition]

Sixth Youth Eligibility Barrier – a youth who requires additional assistance to complete an educational program, or to secure and hold employment. The WIB has further defined this barrier to include the following youth individuals:

1. Any youth enrolled in an alternative school/program such as: ABE, Alternative Education Work Center, County Community Schools, Compensatory Education, Continuation Schools/Classrooms, ROP/C, Court School/Correctional Education, Educational Clinics, GED Prep/High School Equivalency Program, Independent Study, Charter School, Magnet Schools/Programs, Migrant Education, Opportunity Education, Partnership Academies, Special Education, Teenage Pregnancy and Parenting Program. This is not an exhaustive list **or**
2. A student who has chronic attendance or discipline problems at school or whose educational achievement is beneath expected levels **or**
3. A youth who during the last 12 calendar months either received earnings, which equal no more than minimum wage, **or** did not work full time (30 or more hours per week) in unsubsidized employment for more than 13 consecutive weeks **or** was terminated from employment.

[References: WIA Section 129c(5) and NCCC definition]

Spouse of Veteran – for the purposes of the priority of service to veterans requirement is the spouse of any of the following **individuals**:

1. Any veteran who died of a service-connected disability.
2. Any member of the Armed Forces serving on active duty who, at the time of application for assistance, is listed for a total of more that 90 days as;
 - Missing in action,
 - Captured in line of duty by a hostile force, or
 - Forcibly detained or interned in line of duty by a foreign government or power
3. Any veteran who has a total disability resulting from a service-connected disability.
4. Any veteran who died while a disability was in existence so evaluated was in existence.

[References: DOL,ETA TEGL 10-09]

Stopgap Employment – (*This definition is only relevant for Dislocated Worker programs*) Stopgap employment means work an individual does only because he has lost the customary work for which his training, experience or work history qualifies him (see “underemployed”). Employment would be considered "stopgap" if the salary were substantially below the salary of the individual's primary occupation and/or if he is working substantially under the skill level of his customary occupation [Adapted from kansasjobs.org.]. There may be times when stopgap employment provides a self-sufficient wage, e.g., contract employment or employment obtained through a temporary employment services agency. Such employment would not change the individual's dislocated worker status. The determination about whether or not an individual's employment since dislocation is stopgap employment must be made on a case by case basis and take into consideration an individual's personal, family, financial, and employment situation. (Individuals engaged in stopgap employment are reported as not employed.)

[Reference: TAG; WLA Directive 04-18]

Substantial Layoff – will be one that affects an employee that works at least 20 hours per week in a business that employs at least 30 employees when at least 10 individuals are laid off or 30% of the employees are laid off from a single employer. [Reference: NCCC definition]

Sufficient Attachment To The Workforce – someone who has worked at least 13 consecutive weeks during the last 12 months, and has worked 30 or more hours per week. [Reference: NCCC definition]

Transitioning Service Member – a service member in active duty status (including separation leave) who participates in employment services and is within 24 months of retirement or 12 months of separation. [Reference: TEGL 17-05]

Truancy – The California Department of Education publication *2002 Work Permit: Frequently Asked Questions* states that: A truant/dropout is in violation of California's compulsory school attendance laws and a school district is not permitted to sanction violation of those laws by issuing a permit to work. A truant/dropout is subject to arrest, and the parents are subject to criminal fines if the minor is found working without a work permit. [Reference: TAG; WLA Directive 04-18]

Under-Employed And Is Experiencing Difficulty in Upgrading Employment – (as defined for the Displaced Homemaker category of the DW program) One or more of the following criteria must be met:

- A. An individual who during the last 12 calendar months either received earnings, which equal no more than minimum wage;
- B. Did not work full time (30 or more hours per week) in unsubsidized employment for more than 13 consecutive weeks;
- C. An individual who is working part time (working less than 30 hours per week) but desires full time employment. CFR 668.150
- D. An individual who is working in employment not commensurate with the individual's demonstrated level of education and or skill achievement. CFR 668.150

[Reference: NCCC definition]

Unemployed And Is Experiencing Difficulty In Obtaining Employment – (as defined for the Displaced Homemaker category of the DW program) a displaced homemaker whose job search efforts have been unsuccessful as documented during core services.

[Reference: NCCC definition]

Unemployment Insurance (UI) Profiling – the Governor has determined that UI profiling methodology and referral process meets the dislocated worker eligibility criteria in WIA Section 101 (9). In such instances, no further documentation is needed to establish the *unlikely to return* criterion. [Reference: title 20 CFR Part 652 et at. Preamble, Subpart A-One Stop System, p49316]

Unlikely To Return – worked in a declining industry/occupation (must be documented):

Has had a lack of job offers, documented by local Job Service/UI office, rejection letters, or other documentation of unsuccessful efforts to obtain employment in prior industry/ occupation;

Worked in an industry/occupation/job for which there are limited job orders in the EDD CalJOBS system, certified by the local EDD/staff with access;

Insufficiently educated and/or does not have the necessary skills for reentry into the former industry/occupation, as documented through the assessment of educational achievement levels, testing, or other suitable means;

Have physical or other problems, which would preclude reentry into the former industry/occupation, as documented by physician or other applicable professionals.

[Reference: NCCC definition]

ADDITIONAL DISLOCATED WORKER DEFINITIONS

Farm Workers and the Unlikely to Return Standard

The inherently seasonal nature of farm worker occupations has been incorrectly perceived by some practitioners as disqualifying under the “unlikely to return to work” standard in WIA Section 101(9)(A). In fact, individuals that may have worked seasonally can be considered unlikely to return to work in a previous industry or occupation for a variety of reasons such as:

1. Change in family situation that requires higher income;
2. Disability that precludes returning to the same occupation;
3. Natural disaster that results in lost wages;
4. Loss of agricultural land;
5. Mechanization, or
6. Any significant variance to normal seasonal employment patterns, resulting in uncertain return-to-work dates.

Additionally, permanent closures or a substantial layoff from agricultural enterprises and facilities such as packaging, canneries, or farming are not excluded from the standard under WIA Section 101(9)(B). The WIA Section 101(9) (C) standard regarding those that were self-employed (including employment as a farmer, a rancher, or a fisherman) and are unemployed due to economic conditions that resulted from extreme or unusual weather patterns and agricultural market downturns can also apply to farm workers.

[Reference: TAG]

Layoffs, Furloughs, Temporary Layoffs and Lockouts

Layoff means the permanent or temporary termination of employment of an employee because a position has been abolished, because of insufficient funds, because of lack of work, or for any other reason not reflecting discredit on the employee (such as, dismissal for inadequate performance, violation of workplace rules, cause, etc.).

Furlough means the placing of an employee in a temporary status without duties and pay because of lack of work or funds or other non-disciplinary reasons [Title 5 USC 7511(a) (5)]. As such, it is a temporary termination of employment or layoff. *Lockout* means any refusal by an employer to permit any group of five or more employees to work as a result of a dispute with such employees affecting wages, hours or other terms or conditions of employment of such employees [Section 1132.8 of the California Labor Code].

DISCUSSION:

Individuals that are furloughed are laid off. Depending on the local definition of “unlikely to return,” the circumstances of the applicant, and local economic conditions, furloughed individuals may or may not be likely to return to their previous industry or occupation. The local areas are in the best position to make this determination. If these individuals are likely to return to their previous industry or occupation and need more than core services, they may be served as adults. In some cases, a business, company or corporation’s furloughs are in fact substantial layoffs and the unlikely to return provision does not apply. Local areas have the discretion to define “substantial layoff” since the definition depends on local economic conditions.

A lockout does not terminate the employer-employee relationship. Consequently, locked out employees are not eligible dislocated workers since they have not been terminated or laid off, are not eligible for unemployment compensation, and are likely to return to the same industry or occupation once the dispute is resolved. The same guidance applies to employees that are on strike. There may be locked out employees who for financial reasons seek other employment. These individuals may be served as adults.

In those cases mentioned above when individuals are not dislocated workers, local boards have the flexibility to serve them as adults even when there is a local priority to serve recipients of public assistance and other low-income individuals.

GENERAL ELIGIBILITY DOCUMENTS	
Required for Adult, Dislocated Worker and Youth Programs <i>(Verify each criterion unless specified otherwise)</i>	<u>ACCEPTABLE DOCUMENTATION</u> <i>(Only one document from this column per eligibility criterion is required)</i>
<p>BIRTH DATE/AGE</p> <p>Note: Applicants must be age 18 or older at the time of registration/enrollment to participate in the adult or dislocated worker program. Applicants must be 14 – 21 years old at the time of registration to participant in the youth program.</p>	<ul style="list-style-type: none"> • Baptismal or Church Record • Birth Certificate • Driver's License • Federal, State or Local Government Issued Identification Card • Hospital Record of Birth • Passport • Public Assistance/Social Service Records • School Records • EV08 • Work Permit
<p>U.S. WORK AUTHORIZATION (RIGHT TO WORK)</p>	<ul style="list-style-type: none"> • Verification Document(s) that Satisfy List A of the I-9 • Verification Document(s) that Satisfy List B <u>and</u> C of the I-9
<p>SELECTIVE SERVICE REGISTRANT</p> <p>Note: Each male registrant 18 years of age or older born on or after January 1, 1960, must present evidence that he has complied with <i>Section 3</i> of the Military Selective Service Act.</p> <p>Each male who turns 18 years of age during WIA participation must also submit evidence that he has complied with the requirements of the Military Selective Service Act.</p> <p>For required males failed to register before their 26th birthday please see the NCCC Administrative Procedure #5, Selective Service.</p>	<ul style="list-style-type: none"> • Acknowledgement Letter • Form DD-214⁽¹⁾ • Screen printout of the Selective Service Verification Internet site: www.sss.gov/regver/verification1.asp • Selective Service Status Information Letter • Selective Service Registration Card • Selective Service Registration Record • Selective Service Verification Form • Stamped Post Office Receipt of Registration • EV21 <u>and</u> supporting documentation for non-registered males born after 12/31/59)

MISCELLANEOUS CRITERIA	
PRIORITY OF SERVICE <i>(Verify each criterion unless specified otherwise)</i>	<u>ACCEPTABLE DOCUMENTATION</u> <i>(Only one document from this column per eligibility criterion is required)</i>
Veterans' Priority Of Service	
A Veteran as defined in this document.	<ul style="list-style-type: none"> • DD 214 • Veterans Administration Letter or Record
ECONOMIC ELIGIBILITY DOCUMENTS	
Required for Youth Programs	<u>ACCEPTABLE DOCUMENTATION</u> <i>(Only one document from this column per eligibility criterion is required)</i>
FAMILY SIZE/INDIVIDUAL STATUS	<ul style="list-style-type: none"> • Lease • Birth Records • Decree of Court • Divorce Decree • Social Security Cards • Alien Registration Cards • Landlord Statement • Marriage Certificate • Medical Card • Public Assistance/Social Service Agency Records • Most Recent Tax Return Supported by IRS Documents (e.g. Form Letter 1722) • EV11
CASH PUBLIC ASSISTANCE Note: The applicant receives or is a member of a family that receives cash payments under a federal, state, or local income-based public assistance program. (NO OTHER VERIFICATION IS NEEDED FOR INCOME OR FAMILY SIZE)	<ul style="list-style-type: none"> • Authorization to Receive Cash Public Assistance • Public Assistance Check • Public Assistance Identification Card Showing Cash Grant Status • Public Assistance Records/Printout • Refugee Assistance Records/Printout • EV02, EV08
FOOD STAMPS Note: The documentation listed must show that the applicant is a member of a household that receives (or has been determined within the 6-month period prior to application for the program involved to be eligible to receive) (NO OTHER VERIFICATION IS NEEDED FOR INCOME OR FAMILY SIZE)	<ul style="list-style-type: none"> • Authorization to Obtain Food Stamps • Food Stamp Card with Current Date • Food Stamp Receipt • Postmarked Food Stamp Mailer with Applicable Name and Address • Statement from County Welfare Office • Public Assistance Records/Printout • EV02, EV08

<p>FAMILY INCOME</p> <p>Note: It is necessary to verify family size when using family income eligibility)</p> <p>Note: Documentation should be provided for inclusive income source received by the applicant and each family member for the six-month income period immediately preceding the determination date.</p>	<ul style="list-style-type: none"> • Accountant Statement • Award Letter from Veterans Administration • Bank Statements (Direct Deposit) • Compensation Award Letter • Court Award Letter • Employer Statement • Housing Authority Verification • Pay Stubs • Public Assistance Records • Applicant Statement • Quarterly Estimated Tax for Self-employed Persons (Schedule C) • Social Security Benefits Records • EV08, EV12, EV13 • Unemployment Insurance Documents and/or Printout
<p>INDIVIDUALS WITH DISABILITIES</p> <p>Note: Disability status as well as income must be verified. The applicant's disability must constitute or result in a substantial barrier to employment.</p> <p>An individual with a disability shall be considered a family of one for eligibility purposes.</p>	<ul style="list-style-type: none"> • Letter from Drug or Alcohol Rehabilitation Agency • Medical Records • Physician's Statement • Psychiatrist or Psychologist Diagnosis/Statement • School Official Statement • Social Security Administration Disability Records • Social Service Records/Referral • Veterans Administration Letter/Records • Vocational Rehabilitation Letter/Statement • Workers Compensation Records/Statement • EV08, EV09
<p>FOSTER CHILD</p> <p>Note: Must be a foster child for which State or local government payments are made on his/her behalf.</p> <p>(NO OTHER VERIFICATION IS NEEDED FOR INCOME OR FAMILY SIZE)</p>	<ul style="list-style-type: none"> • Court Records/Documentation • County Welfare Office Records/Statement • Medical Card • EV02, EV08 • Verification of Payments Made on Behalf of the Child • Written Statement from Cognizant Agency
<p>HOMELESS</p> <p>(NO OTHER VERIFICATION IS NEEDED FOR INCOME OR FAMILY SIZE)</p>	<ul style="list-style-type: none"> • Statement from a Social Service Agency • Statement from an Individual Providing Temporary Residence • Statement from Shelter • EV05, EV08, EV10

BARRIER ELIGIBILITY DOCUMENTS	
Required for Youth Programs	<u>ACCEPTABLE DOCUMENTATION</u> (Only one document from this column per eligibility criterion is required)
BASIC LITERACY SKILLS DEFICIENT	<ul style="list-style-type: none"> • Locally defined, may include: <ul style="list-style-type: none"> – Standardized Test – School Records
SCHOOL DROPOUT	<ul style="list-style-type: none"> • School Statement/Records • EV04, EV09
HOMELESS OR RUNAWAY	<ul style="list-style-type: none"> • EV05, EV08, EV10 • Statement from a Social Service Agency • Statement from Shelter • Statement from an Individual Providing Temporary Residence
FOSTER CHILD Note: Must be a foster child for which State or local government payments are made on his/her behalf.	<ul style="list-style-type: none"> • Court Records/Documentation • County Welfare Office Records/Statement • Medical Card • EV02, EV08 • Verification of Payments Made on Behalf of the Child • Written Statement from Cognizant Agency
PREGNANT OR PARENT	<ul style="list-style-type: none"> • Birth Certificate • Hospital Record of Birth • Medical Card • Statement from Physician • Statement from School Program for Pregnant Youth • School Records • EV08 • Written Statement from Social Services Agencies • Applicant Statement
OFFENDER	<ul style="list-style-type: none"> • Court Documents • Letter of Parole • Police Records • Statement from Halfway House • Statement from Probation Officer • Newspaper • EV08 • Applicant Statement

<p>6th BARRIER:</p> <p>Any youth enrolled in an alternative school/program (see 6th barrier definition)</p> <p>Or</p> <p>A student who has chronic attendance or discipline problems at school or whose educational achievement is beneath expected levels</p> <p>Or</p> <p>A youth who during the last 12 calendar months either received earnings, which equal no more than minimum wage, or did not work full time (30 or more hours per week) during the last 13 months or was terminated from employment during the last 12 calendar months.</p>	<ul style="list-style-type: none"> • School Records • EV04, EV08 • School Report Card • School Records • EV04, EV08 • School Report Card • Pay Stubs • Employer Contacts • EV01 or EV08 • UI Documents • EV20, EV14 • Work history documented on a Pre-Application may be used
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5% YOUTH NON-ECONOMICAL DISADVANTAGED EXCEPTION DOCUMENTS	
Required for Non-Economically Disadvantaged Youth Programs	<u>ACCEPTABLE DOCUMENTATION</u> (Only one document from this column per eligibility criterion is required)
BASIC LITERACY SKILLS DEFICIENT	<ul style="list-style-type: none"> • Locally defined, may include: <ul style="list-style-type: none"> – Standardized Test – School Records
SCHOOL DROPOUT	<ul style="list-style-type: none"> • School Statement/Records • EV04, EV09
HOMELESS OR RUNAWAY	<ul style="list-style-type: none"> • EV05, EV08, EV10 • Statement from a Social Service Agency • Statement from Shelter • Statement from an Individual Providing Temporary Residence
PREGNANT OR PARENT	<ul style="list-style-type: none"> • Birth Certificate • Hospital Record of Birth • Medical Card • Statement from Physician • Statement from School Program for Pregnant Youth • School Records • EV08 Telephone Verification • Written Statement from Social Services Agencies • Applicant Statement
INDIVIDUALS WITH DISABILITIES An individual with a disability shall be considered a family of one for eligibility purposes.	<ul style="list-style-type: none"> • Letter from Drug or Alcohol Rehabilitation Agency • Medical Records • Observable Condition • Physician's Statement • Psychiatrist or Psychologist Diagnosis/Statement • Rehabilitation Evaluation • School Official Statement • Sheltered Workshop Certification • Social Security Administration Disability Records • Social Service Records/Referral • Veterans Administration Letter/Records • Vocational Rehabilitation Letter/Statement • Workers Compensation Records/Statement • EV09, EV08
OFFENDER	<ul style="list-style-type: none"> • Court Documents • Letter of Parole • Police Records • Statement from Halfway House • Statement from Probation Officer • Newspaper • EV08 • Applicant Statement

5% YOUTH NON-ECONOMICAL DISADVANTAGED EXCEPTION DOCUMENTS	
Required for Non-Economically Disadvantaged Youth Programs	<u>ACCEPTABLE DOCUMENTATION</u> (Only one document from this column per eligibility criterion is required)
<p>6th BARRIER: Any youth enrolled in an alternative school/program (see 6th barrier definition) Or A student who has chronic attendance or discipline problems at school or whose educational achievement is beneath expected levels Or A youth who during the last 12 calendar months either received earnings, which equal no more than minimum wage, or did not work full time (30 or more hours per week) during the last 13 months or was terminated from employment during the last 12 calendar months.</p>	<ul style="list-style-type: none"> • School Records • EV04, EV08 • School Report Card • School Records • EV04, EV08 • School Report Card • Pay Stubs • Employer Contacts • EV01 or EV 08 • UI Documents • EV20, EV14 • Work history documented on a Pre-Application may be used

DISLOCATED WORKER ELIGIBILITY DOCUMENTS

ELIGIBILITY GROUP –Terminated/Laid Off

Eligibility Criteria <i>(Verify each criterion unless specified otherwise)</i>	<u>ACCEPTABLE DOCUMENTATION</u> <i>(Only one document from this column per eligibility criterion is required)</i>
<p>(A) Has been terminated or laid off, or who has received a notice of termination or layoff, from employment;</p> <p style="text-align: center;">AND</p> <p>(B) Is eligible for or has exhausted entitlement to unemployment compensation; OR</p> <p>Has been employed for a duration sufficient to demonstrate attachment to the workforce, 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;</p> <p style="text-align: center;">AND</p> <p>(C) Is unlikely to return to a previous industry or occupation.</p>	<ul style="list-style-type: none"> • Worker Adjustment and Retraining Notification Act (WARN) notice • Photocopy of a printed media article or announcement describing the layoff. • Employer or union representative letter or statement • EV08 or EV16 • UI Documents or EDD Confirmation • Pay check stubs • W-2 and/or tax returns • Unemployment Insurance records, including DE 429 Notice of Unemployment Insurance Award and DE 4581 Continued Claim Form • Statement by the employer or union representative • UI Documents or EDD Confirmation • EV08 or EV16 or EV20 • EDD profiling documents (Initial Assistance Workshop (IAW) or Self Employment Assistance (SEA) orientation); or • EV15

ELIGIBILITY GROUP –Plant Closure/Substantial Layoff

Has been terminated or laid off, or has received a notice of termination or layoff, from employment as a result of any **permanent closure** of, or any **substantial layoff** at, a plant, facility, or enterprise;

OR

(For Closures ONLY)

Is employed at a facility at which the employer has made a **general announcement** that such facility will close within 180 days; **OR**

For purposes of eligibility to receive core services only, is employed at a facility at which the employer has made a general announcement that such facility will close.

(SUBSTANTIAL LAYOFF AND GENERAL ANNOUNCEMENT ARE DEFINED IN THIS DOCUMENT)

Closure or Substantial Layoff:

- Bankruptcy documents, if declared under *Chapter 7*, Title 11 U.S.C. Notice of foreclosure or a similar document provided by a financial institution when such document clearly shows that a closure or mass layoff will occur as a result of its issuance
- Copy of a printed media article/announcement describing the closure/mass layoff; the copy must include the name of the medium in which published and the date of publication
- Statement from the employer or union representative
- Copy of a **valid** WARN notice provided by the employer or authorized representative
- EV08 or EV17 or EV20

Notice of Layoff or Laid-off:

- See “A” under Terminated/Laid-off above

General Announcement that Facility will Close:

- Valid WARN notice
- Copy of a printed media article/announcement describing the closure/mass layoff; the copy must include the name of the medium in which published and the date of publication
- Statement from the employer or union representative
- Statement from the employer’s bank official, attorney, supplier, accountant, or another knowledgeable individual;
- Applicant Statement
- EV08

ELIGIBILITY GROUP –Self-employed

Was **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.

- Bankruptcy documents listing both the name of the business and the applicant's name; business records of loss in past 12 months; repossession notices; business license; copy of a completed federal income tax return (Schedule SE) for the most recent tax year
- Copy of a printed media article/announcement describing the closure/mass layoff; the copy must include the name of the medium in which published and the date of publication
- EV18

ELIGIBILITY GROUP –Displaced Homemaker	
<p>Is 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 and is unemployed or under-employed and is experiencing difficulty in obtaining or upgrading employment.</p>	<p><u>Loss of Support</u></p> <ul style="list-style-type: none"> • Divorce or Separation Records • EV08 or EV19 <p><u>Unemployed or Underemployed</u></p> <ul style="list-style-type: none"> • PA Records • UI Documentation • Pay Stubs • EV01 or EV08 or EV19
VOLUNTARILY TERMINATED EMPLOYMENT AND UI ELIGIBLE	
<p>Has voluntarily terminated employment and has been determined eligible to receive UI benefits.</p> <p>Note: In the case of individuals not profiled, UI benefit check stubs meet the documentation requirement.</p>	<ul style="list-style-type: none"> • Appointment Notice of referral to an Initial Assistance Workshop (IAW); or • Screen print of IAW schedule; or • Reemployment Plan generated from IAW; or • Invitation Letter to Self Employment Assistance (SEA) orientation; or • Screen print of SEA schedule. <p>Note: If one of the above is not available, documented EV08 Telephone Verification from the EDD field office will suffice.</p>

VERIFICATION FORMS

These forms were created to ease the eligibility documentation process when, after reasonable effort to document eligibility for WIA, copies of specified documents are not readily available and/or may not be copied. The only mandatory forms are (1) EV14 Youth Sixth Barrier, and (2) EV21 SSS Exempt Status Determination, for those males born after 12/31/1959 who did not register with Selective Service prior to their 26th birthday.

On Applicant Statements there are signature lines for corroborating witnesses. It is only necessary to support the applicant statement with a corroborative contact or reliable witness if there is reason not to believe the applicant.

FORM NUMBER	FORM TITLE
EVC/A	Adult Eligibility Verification Checklist
EVC/DW	Dislocated Worker Eligibility Verification Checklist
EVC/YOUTH	Youth Eligibility Verification Checklist
EV01	Employer Statement for Verification of Employment/Earnings
EV02	Agency Statement From Department of Social Service/Welfare
EV04	Agency Statement From School of Attendance
EV05	Agency Statement for Homeless Status
EV07	Agency Statement From Criminal Justice/Corrections Department
EV08	Telephone Verification/Document Inspection
EV09	Applicant/Case Manager Statement of Barriers
EV10	Applicant Statement for Homeless or Runaway
EV11	Applicant Statement for Number in Family
EV12	Applicant Statement for Family Income
EV13	Applicant Statement for Non-Income
EV14	Applicant Statement for Youth with 6 th Barrier
EV15	Unlikely to Return to Previous Occupation
EV16	Applicant Statement for DW Verification of Terminated or Laid – Off
EV17	Applicant Statement for DW Verification of Closure/Substantial Layoff
EV18	Applicant Statement for DW Verification of Self-Employed
EV19	Applicant Statement for DW Verification of Displaced Homemaker
EV20	Employer Statement for DW
EV21	SSS Exempt Status Determination
EV22	Applicant Survey