

**Modified Participant Documentation and Case Management Guidance**

*March, 2015*



The MoHealthWINS, MoManufacturingWINS, and MoSTEMWINS (a/k/a “Grant”) programs are required to serve target populations which include Trade Adjustment Assistance eligible participants, veterans, unemployed participants, underemployed participants and low skilled participants. There is flexibility to include a broad spectrum of individuals (as participants) from varied socioeconomic backgrounds for training purposes.

***Target Populations***

Grant training programs must give priority for training to the following target population participants:

<b>Target Population Segment</b>	<b>Description</b>	<b>Eligibility Determination Grant Partner</b>	<b>Source Documentation</b>
1) Trade Adjustment Assistance	This category includes individuals who: have lost their job, through no fault of their own (due to lack of work), as a result of foreign trade.	State Merit Staff and Mo Career Center Staff	TRA6 Form TRA18 Form TRA22 Form Cover Letter
2) Veteran Status	<p>This category includes individuals who: have served at least one day in the active military, naval, or air service, and who were discharged or released under conditions other than dishonorable.</p> <p>The Jobs for Veterans Act (Pub. L. 107-288) requires priority of service to veterans and spouses of certain veterans for the receipt of employment, training, and placement services in any job training program directly funded, in whole or in part, by DOL. The regulations implementing this priority of service can be found at 20 CFR part1010. In circumstances where a grant recipient must choose between two qualified candidates for training or a service, one of whom is a veteran or eligible spouse, the Veterans Priority of Service provisions require that the grant recipient give the veteran or eligible spouse priority of service by admitting him or her into the training program or providing service. To obtain priority of service a veteran or spouse must meet the program’s eligibility requirements. Grantees must comply with DOL guidance on veterans’ priority.</p>	Mo Career Center Staff	DD-214 form; Cross match with veterans data; Letter from Veterans’ Administration

3) Unemployed	This category includes individuals who have been terminated or laid off, or have received a notice of termination or layoff; employed at a facility at which the employer has made a general announcement the facility will close within 180 days; self-employed (including employment as a farmer, a rancher, or a fisherman) but unemployed as a result of general economic conditions or natural disasters; and a displaced homemaker and can benefit from training that will help them enter or advance in the healthcare industries.	Mo Career Center Staff  If a College staff aids the participant with self-enrollment in Toolbox2.0 the participant must be referred to Mo Career Center for final eligibility determination, unless a Regional MOU between the grant College and WIB has authorized otherwise.	Pay stub. Employer Verification. State MIS. Case Notes for current WIA Participants. Rapid Response List. Notice of Layoff. Public Announcement with follow-up cross-match with UI records. Public Assistance Records. Applicant Self Attestation.
4) Under-employed	An individual who is working part-time but desire's full time employment, or is working in employment not commensurate with the individual's demonstrated level of educational and/or skill achievement.	Mo Career Center Staff  If a College staff aids the participant with self enrollment in Toolbox2.0 the participant must be referred to Mo Career Center for final eligibility determination, unless a Regional MOU between the grant College and WIB has authorized otherwise.	Pay stub. Employer Verification. State MIS. Case Notes for current WIA Participants. Rapid Response List. Notice of Layoff. Public Announcement with follow-up cross-match with UI records. Public Assistance Records. Applicant Self Attestation.

<p>5) Low-Skilled</p>	<p>An individual will be required to demonstrate college readiness for placement into college level coursework, (typically coursework numbered 100 level or above) as defined in the Missouri Community College Readiness Standards. Individuals scoring below the designated cut-off score for any area will be defined as “Low- Skilled” for the purposes of Grant eligibility.</p> <p>All Grant participants will be assessed through the use of WorkKeys/NCRC assessment in each of the following areas: Applied Mathematics, Locating Information, and Reading for Information. Individuals scoring below a level 5 for any NCRC/WorkKeys area will be defined as “Low-Skilled” for the purposes of Grant eligibility.</p> <p>Since Grant programs also serve GED seeking participants, low skilled adults as defined by the US Dept. of Education- students who, for whatever reason, are not enrolled in secondary school and lack the sufficient mastery of basic educational skills and do not possess a secondary school diploma or it’s recognized equivalent. Not having a high school diploma or its equivalent is by definition, low skilled. These participants will be assessed with a tool that will determine exactly what general, basic skills need remediation. Tests of Adult Basic Education (TABE) are currently used by high schools, MO Career Centers and Adult Education programs. This assessment test is aligned with the National Reporting Standards for education.</p>	<p>The Regional MOU between the grant community college and local WIB has authorized the named partner(s) who determines participant eligibility for both credit and noncredit programs.</p>	<p>No proof of High School graduation NCRC/WorkKeys Assessment Scores Compass/ACT Scores *See Participant Eligibility Guidance February 2015</p>
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***Participant Specifications:***

- MoWINs participants are required to be entered into [www.jobs.mo.gov/Toolbox](http://www.jobs.mo.gov/Toolbox) by either the Community College or the local career center staff.
- All participants will be informed they are participating in the TAACCCT Grant program.
- The Grant programs are required to obtain personal information on all participants being referred in the program in order to track program performance outcomes.
- Veteran’s Priority source documentation would be dd-214, Cross match with Veterans Data State MIS records.
- Selective Service registration validation on most males born after December 31, 1959 who are 18 but not yet 26 years old.

### ***Student Files***

A hard copy (or electronic versions) file for each program participant shall be created and maintained by each Grant consortium college training provider during the duration of the TAACCCT grant. The file should be identified as a Grant program participant with the student's name.

The student file should include the following information:

#### **Admissions Documentation**

1. Completed Grant Participant Intake Form
2. Verification of Selective Service Registration (male students)
3. Copy of participant's Social Security card (social security number). While SSN's are not a grant eligibility requirement nor can grant services be denied if a participant refuses to provide the SSN, some programs of study do require SSNs for program admissions in order to perform background checks and drug testing for certain health occupations that require clinicals.
4. If a participant/student is identified as one of the priority populations (i.e., one of the population segments identified) include source documentation records to verify priority population status
5. Copies of pertinent financial aid documentation – if applicable (e.g., FAFSA, etc.)
6. Copy of applicable program admissions notification(s) from training provider
7. Identification of program/course/educational path being taken by participant/student
8. Any pertinent verification of employment documentation (i.e., copy of pay stub)

#### ***Subsequent Documentation:***

1. Final grade reports upon completion of training/education
2. WorkKeys/NCRC Scores
3. Copy of Certificate of Completion, Proficiency, etc. related to successful completion
4. Notations – Any pertinent comments applicable to the training participant (e.g., if they exit the program early potential reasons/issues as to why?)

All participant/student files will need to be stored in a secure environment due to the personal nature of the information.

#### ***Participant Case Notes Management***

All MoWINs consortium colleges are required to maintain accurate, adequate and timely case notes on every grant participant. These will be monitored by the USDOL Federal Project Officer. This monitoring review will involve college participant files and/or Mo Career Center files, whether that is electronic or paper. Case notes record important details about grant services provided to grant participants. Case notes supplement and synthesize information on a participant's strengths and needs in a range of areas to provide a justification for specific services and activities provided. In addition, case notes can sometimes serve as documentation of factors affecting a participant's eligibility or other important information. Finally, case notes record details of a participant's participation levels in the TAACCCT grant activities and progress toward his or her employment and educational goals. Purposeful, clear and consistent case notes are a must. Without these the grant is at real risk for questioned and potentially disallowed costs.

Case notes support:

- Eligibility determination
- Clearly define the grant participants educational plan and goals
- Describe the outcomes
- Maintain participants grant activities and services received
- Address participant's exit

Six elements of good grant participant case note:

1. Focuses on the grant participant.
2. Describes the grant service provided.
3. Identifies the next step and participant's involvement.
4. Tracks grant funding and non-grant funding associated with the participant.
5. Tracks grant staffing assigned to aid the participant in providing quality service.
6. Aids in grant compliance monitoring.

Reference the Grant Technical Assistance page for further guidance in quality grant participant case note management at [www.mccatoday.org](http://www.mccatoday.org).



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