

TRIDENT

TO: Trident Workforce Investment Area Contractors and Staff

ISSUANCE DATE: November 16, 2012

EFFECTIVE DATE: December 1, 2012

SUPERSEDES: N/A

SUBJECT: Use of self-attestation and documentation related to WIA eligibility

PURPOSE: To provide guidance in adhering to State instruction letter No. 12-8 and to transmit clarification on the use of self-attestation as a documentation source for establishing Workforce Investment Act (WIA) program eligibility for adults, dislocated workers and youth.

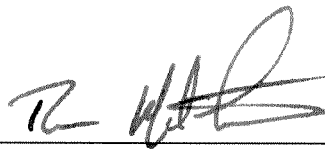
BACKGROUND: In the past, the use of self-attestation has been allowed and encouraged for verification of multiple WIA eligibility data elements. Department of Labor (DOL) has determined that the requirements for eligibility and data validation are not the same and creating the need for South Carolina to have a separate list for eligibility. See Instruction Letter No. 12-8 for full background.

POLICY: This instruction letter applies to all new WIA certifications as of December 1, 2012. In order to ensure compliance with WIA regulations, self-attestation will not be used as a source document for verification of eligibility for WIA programs. Requiring documentation will reduce the risk of enrolling ineligible individuals, which could result in disallowed costs.

Self-attestation may be used as a last resort when getting documentation is too burdensome for the individual.

PROCEDURES:

SC Works Trident will follow the guidelines and instructions outlined in the attached instruction letter No. 12-8.



Ronald Mitchum, Executive Director
BCDCOG

November 16, 2012

Date

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1550 Gadsden Street
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Nikki R. Haley
Governor

Abraham J. Turner
Executive Director

STATE EMPLOYMENT SERVICES INSTRUCTION NUMBER: 12-8

TO: Local Workforce Investment Area Administrators
SUBJECT: Use of self-attestation and documentation related to WIA eligibility
ISSUANCE DATE: November 16, 2012
EFFECTIVE DATE: December 1, 2012

PURPOSE: This State Instruction provides clarification on the use of self-attestation as a documentation source for establishing Workforce Investment Act (WIA) program eligibility for adults, dislocated workers, and youth.

BACKGROUND: In the past, South Carolina has allowed and encouraged the use of self-attestation for verification of multiple WIA eligibility data elements. Information from the US Department of Labor (DOL) has indicated that although self-attestation is acceptable, it must be accompanied by a timely sampling of participants' actual supporting documentation to ensure the accuracy of their statements. It has been determined that this requirement would not be in the best interest of workforce staff, or of participants who may potentially be forced to be exited from WIA if supporting documents cannot be provided. In the past, the *Data Element Validation Checklist* has been used to ensure documentation compliance. However, DOL has determined that the requirements for eligibility and data validation are not the same, creating the need for a separate list for eligibility.

POLICY: This policy applies to all new WIA certifications as of December 1, 2012. In order to ensure compliance with WIA regulations, self-attestation will not be used as a source document for verification of eligibility for WIA programs. Requiring documentation will reduce the risk of enrolling ineligible individuals, which could result in disallowed costs. To promote the uniform and standard application of acceptable documentation in the WIA program, a *WIA Eligibility and Verification Checklist* is attached. Therefore, only the sources of documentation listed in the checklist should be used for determining WIA eligibility.

Self-attestation may be used as a last resort when getting documentation is too burdensome for the individual.

NOTE: SC Works Online Services (SCWOS) WIA application drop-down lists do not yet reflect the required changes. Eligibility staff should use the attached checklist to determine appropriate documentation.

ACTION: You are responsible for the distribution and implementation of this policy guidance within your local workforce system.

INQUIRY: Questions may be directed to Mary jo Schmick at (803) 737-2708 or mschmick@dew.sc.gov.

A handwritten signature in black ink, appearing to read "Dennis M. King", is written over a horizontal line.

Dennis M. King
Assistant Executive Director
Employment Services

Attachment

WIA ELIGIBILITY AND VERIFICATION CHECKLIST

Where allowable, self-attestation should be used only by exception. In all cases, attempts to gather required documents and a signed statement of self-attestation must be documented.

CRITERIA	ACCEPTABLE VERIFICATION AND DOCUMENTATION	YOUTH	ADULT	DW
DISABILITY <i>Documentation MUST be kept in a separate and locked file</i>	<ul style="list-style-type: none"> ▪ Letter from drug or alcohol rehabilitation agency ▪ Medical records ▪ Physician's statement ▪ Psychiatrist's statement ▪ Psychologist's diagnosis ▪ Rehabilitation evaluation ▪ School records ▪ Sheltered workshop certification ▪ Workers' Compensation record ▪ Social Security Administration disability records ▪ Veterans Administration letter/records ▪ Vocational Rehabilitation letter ▪ Social Service records/referral 	X	X	X
VETERAN STATUS <i>Documentation MUST be in file</i>	Although not required for eligibility, documentation of Veteran status must be in the file for those receiving WIA-funded training or supportive services. <ul style="list-style-type: none"> • DD 214 <i>Report of Separation</i> 		X	X
EMPLOYMENT STATUS <i>Documentation MUST be in file</i>	<ul style="list-style-type: none"> ▪ UI Records ▪ Pay stubs ▪ Employer statement/contact ▪ Applicable tax documents ▪ Bank statements (direct deposit) ▪ Farm or business financial records ▪ Notice of termination/separation ▪ Self-attestation 	X	X	X
HIGHEST GRADE COMPLETED <i>Documentation MUST be in file</i>	<ul style="list-style-type: none"> ▪ Copy of diploma, GED or degree ▪ School Records ▪ School verification ▪ Self-attestation if no other documentation available 	X	X	X
SCHOOL STATUS <i>Documentation MUST be in file</i>	<ul style="list-style-type: none"> ▪ Copy of diploma, GED or degree ▪ School records ▪ Attendance ▪ Drop-out letter ▪ Self-attestation 	X		

CRITERIA	ACCEPTABLE VERIFICATION AND DOCUMENTATION	YOUTH	ADULT	DW
BELOW SCHOOL GRADE FOR AGE <i>Documentation MUST be in file</i>	<ul style="list-style-type: none"> ▪ School records/letter ▪ Self-attestation* 	X		
DISPLACED HOMEMAKER <i>Documentation MUST be in file</i>	<ul style="list-style-type: none"> ▪ Must prove unemployment or underemployment (see Employment Status) and provide one of the following documents: <ul style="list-style-type: none"> ➢ Divorce decree or legal separation documents ➢ Death Certificate ➢ Marriage license if spouse of a WIA Dislocated Worker ➢ Public assistance record ➢ Layoff notice of family member who previously provided support ➢ Bank records 			X
HOMELESS <i>Documentation MUST be in file</i>	<ul style="list-style-type: none"> ▪ Written statement from shelter ▪ Written statement from an individual providing temporary assistance ▪ Written statement from Social Service agency ▪ Self-attestation * 	X		
RUNAWAY <i>Documentation MUST be in file</i>	<ul style="list-style-type: none"> ▪ Written statement from shelter ▪ Written statement from an individual providing temporary assistance ▪ Written statement from Social Service agency ▪ Self-attestation * 	X		
OFFENDER	<ul style="list-style-type: none"> ▪ Police records ▪ Court documents ▪ Letter of parole ▪ Letter from probation officer ▪ Telephone call with court representative (documented in case notes) ▪ Department of Corrections website/records ▪ Self-attestation* 	X		
PREGNANT/PARENTING YOUTH <i>Documentation MUST be in file</i>	<ul style="list-style-type: none"> ▪ Physician's statement ▪ Child's birth certificate ▪ Hospital record of birth ▪ Self-attestation * 	X		

*** Documentation other than self-attestation must be provided for at least one barrier.**

CRITERIA	ACCEPTABLE VERIFICATION AND DOCUMENTATION	YOUTH	ADULT	DW
FOSTER CARE (LOW-INCOME) <i>Documentation MUST be in file</i>	<ul style="list-style-type: none"> ▪ Statement/referral from Social Services agency ▪ Foster Care facility resident document ▪ Court/guardianship documents ▪ Phone call to DSS documented in case notes 	X		
FOSTER CHILD (YOUTH BARRIER) <i>Documentation MUST be in file</i>	<ul style="list-style-type: none"> ▪ Written statement from State Social Services Agency ▪ Phone call to DSS documented in case notes ▪ Social Services (DSS) record/printout ▪ Self-attestation * 	X		
FAMILY SIZE <i>Documentation MUST be in file</i>	<ul style="list-style-type: none"> ▪ Public assistance/Social Service agency records ▪ Birth Certificate(s) ▪ Decree of Court ▪ Proof of disability if applicable ▪ Divorce decree ▪ Marriage certificate/license ▪ Most recent tax return supported by IRS documents (e.g. form letter 1722) ▪ Public Housing Authority records (if resident or on waiting list) ▪ Written statement from a publicly supported 24-hour care facility or institution (e.g. mental health, prison) ▪ Corroboration of third party who knows family (signed, and in file) 	X	X	
FAMILY INCOME <i>Documentation MUST be in file</i> ** Documentation for Adult eligibility is only required when low income priority of service is in effect. Otherwise, self-attestation is acceptable.	<ul style="list-style-type: none"> ▪ Alimony agreement ▪ UI documents and/or printout ▪ Award letter from Veterans Administration ▪ Bank statements (direct deposit) for previous six months ▪ Compensation award letter ▪ Court award letter ▪ Employer statement/contact ▪ Farm or business financial records ▪ Housing Authority verification ▪ Pay stubs for previous six months (can use year-to-date on one paystub if it shows at least 6 months) ▪ Pension/annuity statement ▪ Public assistance records (ex. TANF/SNAP printout) ▪ Quarterly estimated tax for self-employed persons ▪ Social Security benefits 	X	X**	

* Documentation other than Self-Attestation must be provided for at least one barrier.

CRITERIA	ACCEPTABLE VERIFICATION AND DOCUMENTATION	YOUTH	ADULT	DW
DATE OF BIRTH <i>Documentation MUST be in file</i>	<ul style="list-style-type: none"> ▪ Baptismal Record with date of birth ▪ Birth Certificate ▪ DD-214 ▪ Driver's License ▪ Federal, state or local government ID Card ▪ Hospital Birth Record ▪ Passport ▪ Public assistance/social service record ▪ School records/identification ▪ Work Permit if date of birth is shown ▪ Cross-Match with Department of Vital Statistics ▪ Tribal Record with date of birth ▪ Employer record 	X	X	X
SELECTIVE SERVICE REGISTRATION <i>Documentation MUST be in file</i>	<ul style="list-style-type: none"> ▪ Selective Service Registration should be verified and documented through SCWOS ▪ Form DD-214 "Report of Separation" ▪ Stamped Post Office Receipt of Registration ▪ Selective Service Registration Card ▪ Waiver Approved by Regional Trade Coordinator ▪ Local area waiver <u>and</u> supporting documentation according to TEGL 11-11 	X	X	X
CITIZENSHIP/ALIEN STATUS	<ul style="list-style-type: none"> ▪ I-9 List A: US Passport (unexpired or expired) ▪ I-9 List A: Permanent Resident Card or Alien Registration Receipt Care (Form I-551) ▪ I-9 List A: An unexpired foreign passport with a temporary I-551 stamp ▪ I-9 List A: An unexpired Employment Authorization Document that contains a photograph (Form I-766, I-688, I-688A, I-688B) ▪ I-9 List A: An unexpired foreign passport with an unexpired arrival-departure record, Form I-94, bearing the same name as the passport and containing an endorsement of the alien's nonimmigrant status, if that status authorizes the alien to work for the employer ▪ Driver's license ▪ Social Security card ▪ Other I-9 List B and List C staff viewed I-9 documents 	X	X	X

CRITERIA	ACCEPTABLE VERIFICATION AND DOCUMENTATION	YOUTH	ADULT	DW
<p>DISLOCATED WORKER Documentation <i>MUST</i> be in file</p>	<ul style="list-style-type: none"> ▪ Cat 1 or 2: <ul style="list-style-type: none"> ➢ Separation notice AND UI records AND Staff documentation of: <ul style="list-style-type: none"> ○ No work in the occupation or industry available in area, or ○ UI profiled ≥ 40%, or ○ If work is available in occupation or industry, evidence of work search ▪ Cat 3: WARN notice or letter of authorization from the State WIA Administrative Agency. ▪ Cat 3: Closure listed on the Layoff & Closure Report (SCWOS Staff Online Resources) ▪ Cat 3: Layoff labeled “Substantial” on the <i>Layoff and Closure Report</i> (SCWOS Staff Online Resources). The individual’s layoff date must be within 30 days of the Layoff Date on the report and Substantial Layoff must be “Yes” on the report. ▪ Cat 4: Documentation of general announcement ▪ Cat 5: Receipt of notice of foreclosure or intent to foreclose ▪ Cat 5: Proof of failure of the farm, business or ranch to return a profit during preceding 12 months. ▪ Cat 5: Entry of individual into bankruptcy proceedings ▪ Cat 5: Proof of inability to make payments on loans secured by tangible business assets ▪ Cat 5: Inability to obtain capital necessary to continue operations ▪ Cat 5: A debt-to-asset ratio sufficiently high to be indicative of the likely insolvency of the farm, ranch or business. ▪ Cat 5: Other events indicative of the likely insolvency of the farm, ranch or business. ▪ Cat 6: Is verified in barriers – Displaced Homemaker 			X
<p>BASIC SKILLS Documentation <i>MUST</i> be in file</p>	<ul style="list-style-type: none"> ▪ Copy of any generally accepted standardized test ▪ School record of reading and/or math skills determined within the previous 6 months of application 	X		
<p>TANF Documentation <i>MUST</i> be in file</p>	<ul style="list-style-type: none"> ▪ Public assistance records/printout listing applicant in TANF budget ▪ Copy of authorization to receive public assistance ▪ Copy of public assistance check 	X	X	X

CRITERIA	ACCEPTABLE VERIFICATION AND DOCUMENTATION	YOUTH	ADULT	DW
SUPPLEMENTAL SECURITY INCOME (SSI) <i>Documentation MUST be in file</i>	<ul style="list-style-type: none"> ▪ Public assistance records/printout listing applicant as SSI recipient ▪ Copy of authorization to receive cash public assistance (SSI) ▪ Copy of public assistance check ▪ Medical card showing cash grant status 	X	X	X
REFUGEE CASH ASSISTANCE <i>Documentation MUST be in file</i>	<ul style="list-style-type: none"> ▪ Public assistance records/printout showing refugee cash assistance ▪ Copy of authorization to receive cash public assistance ▪ Copy of public assistance check ▪ Medical card showing cash grant status ▪ Refugee assistance records 	X	X	X
GENERAL ASSISTANCE <i>Documentation MUST be in file</i>	<ul style="list-style-type: none"> ▪ Public assistance records/printout ▪ Copy of authorization to receive cash public assistance ▪ Copy of public assistance check ▪ Medical card showing cash grant status 	X	X	X
FOOD STAMPS <i>Documentation MUST be in file</i>	<ul style="list-style-type: none"> ▪ Current authorization to obtain food stamps ▪ Public assistance records/printout showing applicant in Food Stamp Budget 	X	X	X
LWIA ADULT PRIORITY FOR SERVICES <i>Documentation MUST be in file</i>	<ul style="list-style-type: none"> ▪ Locally defined appropriate documentation in the file (no Self-Attestation) 		X	
YOUTH FACING SERIOUS BARRIERS TO EMPLOYMENT <i>Documentation MUST be in file</i>	<ul style="list-style-type: none"> ▪ Locally defined appropriate documentation in the file 	X		
YOUTH REQUIRES ADDITIONAL ASSISTANCE <i>Documentation MUST be in file</i>	<ul style="list-style-type: none"> ▪ Locally defined appropriate documentation in the file 	X		

LISTS OF ACCEPTABLE DOCUMENTS

All documents must be unexpired

LIST A

**Documents that Establish Both
Identity and Employment
Authorization**

LIST B

**Documents that Establish
Identity**

LIST C

**Documents that Establish
Employment Authorization**

OR

AND

1. U.S. Passport or U.S. Passport Card	1. Driver's license or ID card issued by a State or outlying possession of the United States provided it contains a photograph or information such as name, date of birth, gender, height, eye color, and address	1. Social Security Account Number card other than one that specifies on the face that the issuance of the card does not authorize employment in the United States
2. Permanent Resident Card or Alien Registration Receipt Card (Form I-551)		
3. Foreign passport that contains a temporary I-551 stamp or temporary I-551 printed notation on a machine-readable immigrant visa	2. ID card issued by federal, state or local government agencies or entities, provided it contains a photograph or information such as name, date of birth, gender, height, eye color, and address	2. Certification of Birth Abroad issued by the Department of State (Form FS-545)
4. Employment Authorization Document that contains a photograph (Form I-766)	3. School ID card with a photograph	3. Certification of Report of Birth issued by the Department of State (Form DS-1350)
	4. Voter's registration card	
5. In the case of a nonimmigrant alien authorized to work for a specific employer incident to status, a foreign passport with Form I-94 or Form I-94A bearing the same name as the passport and containing an endorsement of the alien's nonimmigrant status, as long as the period of endorsement has not yet expired and the proposed employment is not in conflict with any restrictions or limitations identified on the form	5. U.S. Military card or draft record	4. Original or certified copy of birth certificate issued by a State, county, municipal authority, or territory of the United States bearing an official seal
	6. Military dependent's ID card	
	7. U.S. Coast Guard Merchant Mariner Card	5. Native American tribal document
	8. Native American tribal document	6. U.S. Citizen ID Card (Form I-197)
	9. Driver's license issued by a Canadian government authority	
For persons under age 18 who are unable to present a document listed above:	7. Identification Card for Use of Resident Citizen in the United States (Form I-179)	
6. Passport from the Federated States of Micronesia (FSM) or the Republic of the Marshall Islands (RMI) with Form I-94 or Form I-94A indicating nonimmigrant admission under the Compact of Free Association Between the United States and the FSM or RMI	10. School record or report card	8. Employment authorization document issued by the Department of Homeland Security
	11. Clinic, doctor, or hospital record	
	12. Day-care or nursery school record	

Illustrations of many of these documents appear in Part 8 of the Handbook for Employers (M-274)