

June 7, 2000

WORKFORCE INVESTMENT ACT (WIA)  
STATE ADMINISTRATIVE ENTITY (SAE)  
SAE INFORMATION NOTICE NO. 42-00  
(SIN NO. 42-00)

SUBJECT: WIA TRANSITION PERIOD REQUIRED PARTICIPANT RECORD  
FORMS AND DOCUMENTATION PROCESS

1. **PURPOSE** To provide guidance to New Mexico Workforce Development Areas/Local Workforce Development Boards (NMWDAs/LWDBs) and Subrecipients on the required participant folder/files forms to be used for Job Training Partnership Act (JTPA) participants carried over to WIA. This notice does not create new record keeping policy but merely identifies existing JTPA forms to be used by NMSDAs/LWDBs for JTPA participants carried over on July 1, 2000 into WIA.
2. **BACKGROUND:** The JTPA and the Workforce Investment Act (WIA) mandate specific participant record keeping and reporting requirements. WIA sections 185 (a)(1) and 185(a)(3), require the maintenance of records that are sufficient to permit the preparation of required reports, permit the tracing of funds, and provide for the maintenance of standardized records for all individual participants. The JTPA also mandates the same participant record keeping and reporting requirements at sections 124 and 165.

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DISTRIBUTION:

NMWDA/LWDB Chairpersons	SAE/NMWDA/LWDB EO Office
NMWDA/LWDB Administrative Entities	SAE/NMWDA/LWDB Legal Counsel
SAE Subrecipients	USDOL Federal Representative
NMWDA/LWDB Subrecipients	

3. **ACTION:** NMWDAs/LWDBs and WIA Subrecipients may use the JTPA participant record/folder forms listed herein, or others adopted by a JTPA Service Delivery Area/Substate Area for participants carried over from JTPA into WIA programs. Instructions on the use of these forms can be found on the forms. For new participants, NMWDAs/LWDBs may adopt the prototypes of participant forms being developed by the State Administrative Entity, or develop and use their own participant forms consistent with the required WIA participant record/folder documentation requirements. Where NMWDAs/LWDBs elect to develop their own WIA forms, it is recommended that “universal” or standard forms be designed that can be used readily for both JTPA and WIA participants to avoid placing unnecessary paper work burdens on participants. All forms developed by NMWDAs/LWDBs for use under WIA must be approved by the State Administrative Entity (SAE) prior to their use.
4. **EFFECTIVE DATE:** This notice is effective July 1, 2000.
5. **RECISSIONS:** None.
6. **CONTACT ENTITY:** Inquiries regarding this Notice should be directed to the SAE State Policy, Planning and Technical Assistance (SPPTA) Bureau in Santa Fe at (505) 827-6827.

CLINTON D. HARDEN, JR.  
Secretary