



SAN JOAQUIN COUNTY WORKNET EMPLOYMENT AND ECONOMIC DEVELOPMENT DEPARTMENT POLICIES AND PROCEDURES DIRECTIVE

DIRECTIVE NO.	EFFECTIVE DATE	APPLICABILITY	PAGE
23-04	February 26, 2024	CMD, FMD, GMD	1 of 7
SUBJECT: WIOA DATA VALIDATION AND SOURCE DOCUMENTATION			

I. PURPOSE

The purpose of this directive is to establish the procedures regarding the Workforce Innovation and Opportunity Act (WIOA) program participant source documentation requirements. This policy applies to the following programs: Title I Adult, Dislocated Worker, Youth, and National Dislocated Worker Grant (NDWG).

II. GENERAL INFORMATION

As the administrator of California’s Title I Adult, Dislocated Worker, and Youth, Title III Wagner-Peyser, TAA, NDWG, and JVSG programs, the Employment Development Department (EDD) is required by federal regulations to submit accurate participant reports to the Department of Labor (DOL) on a quarterly and annual basis. WIOA Data Validation Source Documentation ([WSD22-15](#)) requires Local Workforce Development Area (LWDA) staff to enter timely and accurate data into CalJOBS.

Data validation is a series of quality assurance techniques established to verify the accuracy, validity, and reliability of data entered in CalJOBS and reported to the DOL. The establishment of a shared data validation framework that requires a consistent approach across programs ensures all program data routinely and accurately reflects the characteristics and performance of each program. Ultimately, the purpose of validation procedures are as follows:

- Verify the performance data reported to the DOL are valid, accurate, reliable, and comparable across programs.
- Identify anomalies in the data and resolve issues that may cause inaccurate reporting.
- Outline source documentation required for data elements.
- Improve program performance accountability through the results of data validation efforts.

The EDD Central Office Workforce Services Division’s CalJOBS and Program Accountability Section administers data validation activities and conducts Data

Element Validation (DEV) on program participant files annually. DEV is conducted by comparing data entered in CalJOBS against source documentation. The EDD utilizes the data validation findings to assess the accuracy of program participant data obtained from CalJOBS and reported to the DOL.

REFERENCES

- [Workforce Innovation and Opportunity Act \(WIOA\) \(Public Law 113-128\) Sections 3\(15\) A-E, 116\(d\)\(5\), 134 \(c\), \(2\), \(xiii\), 185\(a\)\(3\)\(c\), and 188](#)
- [TEGL 23-19, Change 2, Guidance for Validating Required Performance Data Submitted by Grant Recipients of U.S. Department of Labor \(DOL\) Workforce Programs \(May 13, 2023\)](#)
- [TEGL 7-18, Guidance for Validating Jointly Required Performance Data Submitted under the Workforce Innovation and Opportunity Act \(WIOA\) \(December 19, 2018\)](#)
- [Title 20 Code of Federal Regulations \(CFR\), Part 678.430 and Part 680.660](#)
- [Title 10 United States Code, Sections 101 and 991](#)
- [Title 38 United States Code, Section 101 \(2\)](#)
- [WSD22-15, WIOA Data Validation Source Documentation \(June 27, 2023\)](#)
- [WSD22-01, Performance Guidance \(July 18, 2022\)](#)
- [WSD20-10, CalJOBS Participant Reporting \(April 8, 2021\)](#)
- [WSD19-06, CalJOBS Activity Codes \(December 27, 2019\)](#)
- [WSD18-02, Data Change Request Form Procedure \(July 31, 2018\)](#)
- [WSD17-01, Nondiscrimination and Equal Opportunity Procedures \(August 1, 2017\)](#)
- [WSD16-08, Release of Confidential UI Information \(October 3, 2016\)](#)
- [WSD14-04, WIA Title I Eligibility \(September 25, 2014\)](#)

III. POLICY

It is the administrative policy of the EEDD to ensure data entered in CalJOBS and reported to the DOL by EDD is accurate. EEDD staff is required to collect and maintain the applicable source documents for each program participant at the date of program entry, during the period of participation, and after program exit. For more information about WIOA Source Documentation and CalJOBS Data Element Entry Locations, staff should reference ([WSD22-15](#), [attachments 1](#) and [2](#)).

While the collection of source documentation for data validation often takes place at the same time as the determination of an individual's program eligibility, these actions serve different purposes. Eligibility determination confirms that an individual meets the requirements of a program before becoming a participant in the program, whereas DEV is validating that data entered in CalJOBS is accurate. Some of the data elements and their allowable source documents may overlap with eligibility documentation requirements. **For DEV purposes, where self-attestation is identified as an acceptable source document, the lack of source documentation beyond self-attestation must not delay or prevent**

enrollment and receipt of services in a program. Please reference WIA Title I Eligibility ([WSD14-04](#)) for additional guidance on eligibility documentation.

The following five data elements require source documentation that falls under the purview of the [WIOA Section 188 Nondiscrimination](#):

- Data Element 200 – Date of Birth
- Data Element 202 – Individual with a Disability
- Data Element 701 – Pregnant or Parenting Youth
- Data Element 803 – English Language Learner
- Data Element 806 – Single Parent at Program Entry
- Data Element 923 – Other Reasons for Exit (if medical related option is selected)

For more information about data information collection and maintenance for nondiscrimination data, please see Nondiscrimination and Equal Opportunity Procedures ([WSD17-01](#)).

Staff are required to maintain source documentation as physical files and/or as electronic files. Staff will utilize electronic records in CalJOBS, through the Document Management and Scanning module, whenever possible. For more information on using the CalJOBS Document Management and Scanning Module, refer to the CalJOBS Document Management and Scanning Module Guide Card located in the Staff Online Resources section of CalJOBS. Staff are responsible for ensuring the data in CalJOBS is accurate and timely. If data in CalJOBS is found to be incorrect, staff should follow the guidance outlined in Data Change Request Form Procedure ([WSD18-02](#)).

The EDD Central Office Workforce Services Division's CalJOBS and Program Accountability Section administers data validation activities. EEDD Grants Management Division reviews source documentation and data validation activities during the program year. To facilitate local review and DEV, staff will follow procedures required by this policy.

IV. PROCEDURE

Allowable Source Documents

Acceptable source documents are physical or electronic documents or records that support the data captured in CalJOBS and reported to the Department of Labor (DOL). Documents uploaded to CalJOBS to serve as allowable source documents will be named in accordance with the attached document naming conventions (CalJOBS Source Document File Naming Conventions, Attachment 2). An individual or participant may sign documents using a physical ("wet") signature or digitally using the CalJOBS electronic signature or by a method approved by the Executive Director of EEDD. Allowable documents for a program or activity must be valid at the time of enrollment in the relevant program or activity.

Eligibility Determination/Documents Verification

When a determination is made that a customer needs WIOA Individualized or training services, it is required that the customer register for the program. To be registered, eligibility determination must be made. The following procedures will be used to determine eligibility:

1. The case manager will schedule an appointment with their customer and complete an initial assessment to determine if they appear to be eligible for WIOA-funded services. The case manager will determine the level of service required, the appropriate funding source (Adult and/or Dislocated Worker or Youth) and will refer them to an Intake and Referral Specialist. The Intake and Referral Specialist will provide the customer with a list of documents they will need to bring with them to verify eligibility. Staff will refer to WIOA Data Validation Source Documentation, ([WSD22-15, attachment 1](#)) for a comprehensive list of documents that can be used to verify each applicable eligibility factor.
2. Documentary evidence of eligibility factors is required. However, if documentary evidence is not verifiable, not readily available, or will entail privation or suffering (undue hardship) for the customer to obtain such documentation, an "Applicant Statement" may be used. This will require a formal request (Applicant Statement, Attachment 1) by the case manager to the Division Manager for approval. Every possible effort must be made (and documented) to collect all necessary documentation to verify eligibility prior to using an Applicant Statement.
3. Upon completion of final eligibility determination, the WIOA application is forwarded for entry, and verified documents are uploaded into the CalJOBS Statewide system. A completed copy of the application is forwarded to a case manager for registration into the WIOA Program. Verification documents used for program eligibility, and qualifications must be shredded upon uploading into the CalJOBS system or stored in a secured location (if the document is copied or printed).
4. Refer to WIOA Source Documentation and CalJOBS Data Element Entry Locations ([WSD22-15, attachments 1 and 2](#)) for a full listing of allowable source documents to be uploaded to CalJOBS.

CalJOBS Activity Codes

Staff must enter CalJOBS Activity Codes within five days of the date the service is provided. Staff should refer to WIOA Source Documentation and CalJOBS Data Element Entry Locations ([WSD22-15, attachment 1, table 3](#)) for a full listing of data elements that use Activity Codes and allowable source documentation. If an Activity Code error is identified or is not entered within 30 days of the date a service is provided, staff must immediately notify the appropriate supervisor who will determine if it is still possible to submit a Data Change Request to EDD. For

additional information on Activity Codes, staff should refer to CalJOBS Activity Codes (WSD19-06). EDD requirements for data change requests is detailed in Procedure is detailed in Data Change Request Form Procedure ([WSD18-02](#)).

Case Notes

Case notes refer to electronic statements in CalJOBS by the case manager regarding services provided to an individual. Case notes must be entered within five days of the date of contact with the participant. Case notes must include:

1. The contact date must reflect the date of contact, not the date the case note was created. Case notes documenting messages (voice, text, email, letter, etc.) left by the case manager or received from the participant do not reflect a service, nor are they considered a contact. A service requires interaction between case manager and participant.
2. The LWDB/Region, Office, Program, and Application ID must all be selected.
3. If the case note refers to a specific CalJOBS activity, the case note subject must begin with the relevant Activity Code number.
4. The Contact Type must be selected.
5. The Case Note Description must include a participant's status for a specific data element.
6. Protected information must not be included in case notes but must be maintained in a separate file in a secure location.
7. Case notes must be relevant to the case.
8. Case notes must not include personal opinions.
9. If the case note is entered by staff other than the case manager who provided the service, the name of staff who obtained the information must be included in the body of the case note.

Measurable Skill Gains Verification

During, and up to one year after training, staff must document measurable skill gains. Once documents are obtained, information is entered on the Measurable Skill Gains ribbon and uploaded to CalJOBS. Refer to WIOA Source Documentation and CalJOBS Data Element Entry Locations (WSD22-15, attachments 1 and 2) for a full listing of allowable Measurable Skill Gains source documents to be uploaded to CalJOBS.

- **For ITA:** The Monthly Training Progress Report form (Progress Report, Attachment 3) documents a participant's training milestone progress, benchmark attainment, credential received, program completion, or other development during or after training. Training providers may use their own forms if they provide comparable information.
- **For OJT:** The Monthly Evaluation form (OJT Monthly Evaluation, Attachment 4) documents a participant's training milestone progress, benchmark attainment, credential received, program completion, or other development during or after training.

- **For Work Experience:** Participation in the Work Experience program does not require a Measurable Skills Gain, nor should one be entered on the Measurable Skill Gains ribbon. The Monthly Work Experience Evaluation documents a participant's progress toward established work experience training goals and skills necessary for successful employment and should be uploaded to CalJOBS.

Credential Attainment Verification

Credential verification is provided by either the training provider or the participant once training or education is completed and the participant has obtained a certificate or license for the occupation. A credential can be obtained during the program or within one year following exit. Once documents are obtained information is entered on the CalJOBS Credentials ribbon, and a copy of the credential is uploaded. Refer to WIOA Source Documentation and CalJOBS Data Element Entry Locations ([WSD22-15, attachments 1](#) and [2](#)) for a full listing of allowable credential source documents to be uploaded to CalJOBS.

Follow-Up Verification

Staff must ensure exited participants receive appropriate services as identified and deemed necessary during the follow-up period. These services are to be documented in case notes and supported with uploaded documents quarterly for one year after exit. Refer to WIOA Source Documentation and CalJOBS Data Element Entry Locations ([WSD22-15, attachments 1](#) and [2](#)) for a full listing of allowable follow-up source documents to be uploaded to CalJOBS.

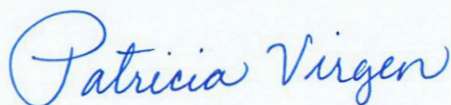
V. **QUESTIONS REGARDING THIS DIRECTIVE**

May be referred to the Executive Director of EEDD via Managers or designee.

VI. **UPDATE RESPONSIBILITY**

The Executive Director of EEDD and/or designee will be responsible for updating this directive, as appropriate.

VII. **APPROVED**



PATRICIA VIRGEN
EXECUTIVE DIRECTOR

PV:jl

Attachment 1: Applicant Statement

Attachment 2: CalJOBS Source Document File Naming Conventions

Attachment 3: Progress Report

Attachment 4: OJT Monthly Report

APPLICANT STATEMENT

I HEREBY CERTIFY, UNDER PENALTY OF PERJURY THAT I _____

My signature below indicates that I have been informed of and understand the information contained on this form. I certify under penalty of perjury that all of the above information is true and complete. I agree that any information I have supplied is subject to verification. I understand that falsification of any item is grounds for termination from the Workforce Innovation and Opportunity Act program and may result in action to recover any moneys paid to me while participating.

Applicant's Signature and Date

Applicant's Address



OFFICE USE ONLY

The above applicant statement is being utilized for documentation of the following eligibility criteria:

Signature and Date of Certifying Staff

CalJOBS Source Document File Naming Conventions

Documents uploaded to CalJOBS to serve as source documents must be named in accordance with the document naming conventions below followed by a space and then the date (yy/mm/dd) the document was obtained.

EXAMPLE: The individual provided a driver's license on November 20, 2023. The file would be named DL 231120.

If a document is not listed below but is included in the WIOA Source Documentation List (WSD22-15, Attachment 1), please see your supervisor for an updated list.

Allowable Type of Document	File Name Abbreviation
Driver's License	DL
Baptismal Record	BR
Birth Certificate (United States [US] or Non-US Issued)	BC
DD-214	DD214
Report of Transfer or Discharge Paper	RTD
Federal, State, Local or Tribal Identification Card	ID
Matricula Consular from Mexico	MC
Passport (US or Non-US Issued)	PP
Hospital Record of Birth (US or Non-US Issued)	HRB
Public Assistance/Social Service Records	PASS

School Records or identification (ID) Cards (US or Non-US Issued)	SR
Work Permit	WP
Family Bible	FB
Justice System Records	JS
Selective Service Registration	SSR
Signed Letter from a Parent/Guardian	PL
A Letter from the Veterans' Administration	VA
NGB-22 documenting Title 10 Federal Active Duty Service	NGB22
Self-Attestation	SA
For Claimant, Exhaustee, or Exempt from Work Search: Documentation from Unemployment Insurance (UI)	UI
Verification from Employer	EV
Rapid Response List	RRL
Notice of Layoff	LN
Public Announcement with documentation from an UI data source (see Workforce Services Directive [WSD] 16-08, Release of Confidential UI Information, for acceptable sources)	PA
TANF Eligibility Verification	TANF

TANF Period of Benefit Receipt Verification	TANFR
Referral Transmittal from TANF	TANFREF
SSI/SSDI Receipt of Benefits Verification	SSDIR
Referral Transmittal from Social Security Administration (SSA)	SSAREF
SSI/SSDI Eligibility Verification	SSDIV
SNAP Eligibility Verification	SNAPV
Documentation of Food Stamp Benefit Receipt	FSR
Referral Transmittal from SNAP	SNAPREF
Copy of Authorization to Receive Cash Public Assistance	PAA
Copy of Public Assistance Check	PAC
Medical Card Showing Cash Grant Status	MCG
Public Assistance Eligibility Verification	PAEV
Pay Stubs	PS
Compensation Award Letter	CMPA
Court Award Letter	CRTA

Pension Statement	PS
Employer Statement/Contact	ESC
Family or Business Financial Records	FBF
Housing Authority Verification	HAV
Quarterly Estimated Tax for Self-Employed Persons	QET
Social Security Benefits	SSB
UI Claim Documents	UIC
Assessment Test Results	ATR
Applicable Records from Education Institution (transcripts, academic assessments, or other school documentation)	ER
Signed IWT agreement	IWT
Employer Worker List	EWL
Designation of Eligibility Form (e.g. DE 8313C)	DE
Withdrawal form with explanation	WD
Information from institution or facility	IFI
Vendor Training Records (including attendance sheets)	VTR

Signed Training Contract	TC
ITA	ITA
Signed Individual Employment Plan or Training Plan	IEP
Vendor Training Certificate of Completion	CC
Waiver Documentation that includes initial approval and renewals at 30 day intervals (e.g. DE 8748 and 8748F)	WD
Transcript or report card	TRC
Enrollment or School records	ESR
Follow-up survey from program participants	FS
Copy of Pay Check Stubs, Payroll Slip, or Leave and Earnings Statements (minimum of two per TEGL 26-16)	PC, PS, LES
Income Tax Records, W-2 Form, or Other Records from the State Department of Revenue or Taxation	IT, W2
Quarterly Tax Payment Forms (such as IRS Form 941)	QTP
Document from employer on company letterhead attesting to an individual's employment status and earnings	EDL
Self-Employment or Sales Commission Worksheets Signed and Attested to by Program Participants	SEW
Pay check stubs, tax records, W-2 form	PC, TR, W2

MONTHLY TRAINING PROGRESS REPORT

This form **MUST** be submitted **EVERY MONTH** to your Case Manager. Failure to submit this monthly progress report may cause a delay or may not allow us to process the payment for your training, and the invoices may be sent to you for payment.

NAME OF STUDENT:	
TRAINING NAME:	
DATE OF PROGRESS REPORT:	
TRAINING PROVIDER:	
TRAINING PROVIDER PHONE #:	

NAME OF CLASS	GRADE	INSTRUCTOR'S COMMENT

ATTENDANCE

of Days Attended: _____ # of Days Absent: _____
 # of Days Tardy: _____

TRAINING PROVIDER OR INSTRUCTOR SIGNATURE **DATE**

PRINT NAME

STUDENT SIGNATURE **DATE**

PRINT NAME

San Joaquin County WorkNet Trainee Performance Evaluation

An evaluation must accompany the monthly invoice for each employee.

NOTE: *To ensure you receive your reimbursement in a timely manner, please submit this form with OJT invoice and time card copies by the 10th of the following month. Thank you for your cooperation.*

Month of: _____

Name of Employer: _____

Name of Employee/Trainee: _____

Job Title: _____

Contract I.D. Number: _____

1. Has the trainee's work been satisfactory? Yes No
2. IF NOT, please identify area of problem: _____
3. How would you rate this Employee/Trainee:
Excellent Good Above Average Average Below Average
4. Please comment on favorable or unfavorable Employee/Trainee traits?

5. Has the trainee achieved a measurable skills gain? Yes No A measurable skills gain attainment could be training reports on milestones completed as the individual masters the required job skills, or steps to complete an On-the-Job Training. If so, please describe the measurable skills gain attained: _____

6. Is it your intent to retain this Employee/Trainee at the completion of the On-the-Job training period Yes No
7. If Employee/Trainee is **no longer employed**, please give the last date of employment and reason. Last employment date: _____
Terminated Laid-off Quit Personal reasons Work accident
8. How do you feel about this Training Agreement and your relationship with the San Joaquin County WorkNet staff? Satisfied Dissatisfied

Completed by: _____ Date: _____