



A G E N D A

Orange County Workforce Development Board

October 30, 2024

10:00 A.M.

Location:

Orange County Community Services
OC Workforce & Economic Development Division
1300 S. Grand Ave., Building B
Newport Conference Room #232
Santa Ana, CA. 92705

The Orange County Workforce Development Board shall not hold a meeting unless the number of members participating constitutes a quorum of the Orange County Workforce Development Board.

This agenda contains a brief description of each item to be considered. Except as provided by law, no action shall be taken on any item not appearing in the agenda. Members of the public who wish to speak on an item(s) may complete a Speaker Request Form(s) identifying the items prior to the beginning of the meeting. To speak on a matter not appearing on the agenda, but under the jurisdiction of this Advisory Board, you may do so during Public Comments. Speaker request forms must be completed prior to the beginning of the meeting, the reading of the individual agenda items and/or the beginning of Public Comments. When addressing the Board, it is requested that you state your name for the record. Address the Board as a whole through the Chair. Comments to individual Members or staff are not permitted. Speakers are limited to three (3) minutes.

Materials/handouts can be requested up to 72 hours in advance of the meeting by visiting <https://workforce.ocgov.com/oc-workforce-development-board>.

This WIOA Title I financially assisted program or activity is an equal opportunity employer/program. Auxiliary aids and services are available upon request to individuals with disabilities. TDD/TTY users, please call the California Relay Service (800) 735-2922 or 711. If you need special assistance to participate in this program, please contact info@ocworkforcesolutions.com at least 72 hours prior to the event to allow reasonable arrangements to be made to ensure program accessibility.

AGENDA:

1. CALL TO ORDER: Anna Lisa Lukes, Chair
2. PLEDGE OF ALLEGIANCE
3. BOARD MEMBER ROLL CALL: OC Community Services Representative
4. PUBLIC COMMENT:
At this time, members of the public may address the Board regarding any items within the subject jurisdiction, provided that no action is taken on off-agenda items unless authorized by law. *(Comments shall be limited to three (3) minutes, unless the Chair pre-identifies a different time at the start of meeting for all public speakers).*

PRESENTATION: *(presentations limited to 10 minutes each)*

5. NORTH ORANGE COUNTY CONTINUING EDUCATION
Valentina Purtell, President of North Orange County Continuing Education
6. CALIFORNIA MANUFACTURING TECHNOLOGY CONSULTING
Rocio Leon, Training Manager at California Manufacturing Technology Consulting

ACTION ITEM:

7. POLICY UPDATES
 - A. OCWDB Allowable Cost Policy
 - B. OCWDB CalJOBS Document Imaging and Scanning Policy
 - C. OCWDB Incident Reporting of Waste, Fraud, and Abuse Policy
 - D. OCWDB Priority of Service for Veterans and Eligible Spouses Policy
 - E. OCWDB WIOA Documentation Requirements Policy
 - F. OCWDB WIOA Priority of Service Policy*Recommendation: Review and support staff's recommendation to update OCWDB Policies A, B, C, D, E, and F as outlined above, including any non-substantive changes and updates, including references in related policies.*
8. AMERICAN JOB CENTER OF CALIFORNIA CERTIFICATION PROCESS
Recommendation: Review and approve the American Job Center of California (AJCC) Baseline Criteria Matrices and Certification Indicator Assessments for Program Years 2024-27 and allow staff to make non-substantive changes as required.
9. 2025 OCWDB MEETING CALENDAR
Recommendation: Review and approve the 2025 OCWDB Meeting Calendar.
10. ELECTION OF OFFICERS – Conducted by County Staff
Recommendation: Conduct 2025 OCWDB Election of Officers for the following positions: Chairperson, First Vice Chairperson, Second Vice Chairperson for a term of (1) year.

INFORMATIONAL ITEM(S):

11. CHAIR REPORT: Anna Lisa Lukes, Chair

12. DIRECTOR’S REPORT: Nancy Cook, Director

A. PROGRAM UPDATES

B. PROGRAM PERFORMANCE (Q1)

C. UPCOMING EVENTS

13. STRATEGIC PLANNING

DISCUSSION ITEM(S):

14. OPEN DISCUSSION

At this time, members of Board may comment on agenda or non-agenda matters provided that NO action may be taken on off-agenda items unless authorized by law.

ADJOURNMENT

NEXT MEETINGS:

OCWDB Full Board – January 2025 TBD

DISCLAIMER: No member of the Orange County Workforce Development Board (OCWDB) shall sign a letter or make a statement purported to represent the position of OCWDB as a body. Letters or verbal statements of support or opposition on any issue shall only be made or signed by the Chair of OCWDB and shall be submitted to the Advisory Board for pre-approval. The policy of the Board of Supervisors does not allow OCWDB or its Chair to sign a letter of position on any matters pertaining to legislation. OCWDB members may write personal letters or speak as individuals stating personal positions but may not do so as representing the position or opinion of OCWDB and/or the County of Orange.

Item #07 – ACTION

Policy Updates

Recommendation Summary

October 30, 2024

BACKGROUND:**A. OCWDB Allowable Cost Policy**

Subrecipients of WIOA funds are required to ensure funding is used according to federal and state guidance.

- The policy revisions now include guidelines on how the Local Workforce Development Area (LWDA) determines if credits (such as purchase discounts, refunds, or rebates) apply to WIOA grants, the types of costs with limitations on allowability, and the classification of costs as direct or indirect. These updates ensure compliance with 2 CFR 200.406, 2 CFR 200.408, and 2 CFR 200.412.

B. OCWDB CalJOBS Document Imaging and Scanning Policy

CalJOBS Document Imaging and Scanning allows electronic file and document storage in CalJOBS a secure, central database.

- The policy revisions align with WIOA guidance by storing participant information in CalJOBS, using electronic files for audits, accepting electronic signatures, and requiring password protection for medical or disability-related uploads.

C. OCWDB Incident Reporting of Waste, Fraud, and Abuse Policy

Grantees and Service Providers receiving federal funds through the Employment Development Department (EDD) are required to report allegations of criminal fraud, program abuse, and criminal conduct.

- The policy revisions align with updates to the Employment Development Department's (EDD) Incident Reporting Directive (WSD 24-03), which now requires subrecipients to file reports directly with the Office of Inspector General (OIG) and the Employment and Training Administration (ETA), bypassing the Compliance Review Office (CRO).

D. OCWDB Priority of Service for Veterans and Eligible Spouses Policy

WIOA requires that Veterans and Eligible Spouses receive priority in the provision of individualized career and training services in the WIOA Adult program. This policy establishes the procedures regarding the priority of service.

- We have established a new policy to expand upon the Adult and Dislocated Worker Program Eligibility Policy to ensure priority of service for veterans and eligible spouses, in compliance with the Workforce Innovation and Opportunity Act (WIOA) and Jobs for Veterans Act (JVA) guidelines. This policy aims to enhance access to employment and training services for these groups.

E. OCWDB WIOA Documentation Requirements Policy

WIOA Source Documentation identifies acceptable documentation for validating data elements and determining eligibility.

- The policy revisions have eliminated the Personal Identifiable Information (PII) section, introduced required source documents for eligibility, and expanded definitions and detailed attachments for Youth and Adult/DW with allowable documents. These updates

were made to align with the latest EDD directives for Data Validation, Source Documentation, U.S Department of Labor (DOL) , and Participant Individual Record Layout (PIRL).

F. OCWDB WIOA Priority of Service Policy

Priority of Service allows for priority to be given for individualized career services and training services funded with WIOA adult funds, to recipients of public assistance, low-income individuals, individuals who are basic skills deficient, or veterans and eligible spouses.

- The policy revisions align with WIOA by prioritizing WIOA Adult services for public assistance recipients, low-income individuals, and those who are basic skills deficient, with veterans and eligible spouses identified at entry. The priority order starts with eligible veterans, followed by non-covered individuals meeting statutory requirements, other veterans, and state or local priority populations.

RECOMMENDATION(S):

Review and support staff's recommendations to update these OCWDB policies, including authority to make any non-substantive changes and updates, including any references in related policies and forms, so long as the original intent of each policy is not altered.

ATTACHMENT(S): Redline & Clean Drafts for each policy

1. OCWDB Allowable Cost Policy
2. OCWDB CalJOBS Document Imaging and Scanning Policy
3. OCWDB Incident Reporting of Waste, Fraud, and Abuse Policy
4. OCWDB Priority of Service for Veterans and Eligible Spouses Policy
5. OCWDB WIOA Documentation Requirements Policy
6. OCWDB WIOA Priority of Service Policy

Allowable Cost Policy

Redline and Clean Version

Information Notice No. 24-OCWDB-09

Supersedes Information No. 16-OCDB-06, 15-OCWDB-08



DYLAN WRIGHT
DIRECTOR
OC COMMUNITY RESOURCES

CYMANTA ATKINSON
~~DEPUTY ASSISTANT~~ DIRECTOR
OC COMMUNITY RESOURCES

JOANNE VEEDOR
DIRECTOR
ADMINISTRATIVE SERVICES

JENNIFER HAWKINS, DVM
MONICA SCHMIDT
DIRECTOR
OC ANIMAL CARE

JULIA BIDWELL
DIRECTOR
OC HOUSING & COMMUNITY
DEVELOPMENT

RENEE RAMIREZ
DIRECTOR
OC COMMUNITY SERVICES

JULIA BIDWELL
DIRECTOR
OC HOUSING & COMMUNITY
DEVELOPMENT & HOMELESS
PREVENTION

STACY BLACKWOOD
PAM PASSOW
DIRECTOR
OC PARKS

HELEN FRIED
JULIE QUILLMAN
COUNTY LIBRARIAN
OC PUBLIC LIBRARIES



ORANGE COUNTY
WORKFORCE DEVELOPMENT
BOARD
1300 SOUTH GRAND
BLDG. B, THIRD FLOOR
SANTA ANA, CA 92705
PHONE:
~~714.480.6500~~ **866.500.6587**
FAX: 714.834.7132

Date: ~~March 23, 2017~~ October 30, 2024

To: WIOA Subrecipients of the Orange County
~~Development Area~~ Workforce Development Board

From: ~~Andrew Munoz~~ Nancy Cook
Director of Workforce and Economic Development
~~Community Investment Division Administrator/~~
~~OC Development Board Executive Director~~

Subject: Allowable Costs and Prior Written Approval
Information Notice No. 24-OCWDB-09
Supersedes Information Notice No. 16-OCDB-06

PURPOSE

This policy provides federal and state guidance regarding general cost principles, allowable costs and prior written approval related to Workforce Innovation and Opportunity Act (WIOA) funds. This policy applies to subrecipients of WIOA funds.

~~This policy supersedes Information Notice No. 165-OCWDB-068 dated February 25, 2016. March 23, 2017~~

EFFECTIVE DATE

This policy is effective on the date of issuance.

REFERENCES

- WIOA (Public Law 113-128) Sections 184(a)(3), 134(c)-(d), and 129
- Title 2 Code of Federal Regulations (CFR) Part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards" (Uniform Guidance)
- Title 2 Code of Federal Regulations (CFR) Part 2900, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards" [Department of Labor (DOL) Exceptions]
- Title 21 United States Code (USC) Section 812
- Training and Employment Guidance Letter (TEGL) 15-14, *Implementation of the New Uniform Guidance Regulations* (December 19, 2014)
- ~~Workforce Services Directive WSD16-16, Allowable Costs and Prior Written Approval~~ (February 21, 2017)

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- ~~• Workforce Services Directive WSD15-15, Allowable Costs (January 22, 2016)~~
- ~~• Workforce Services Directive WSD16-10, Property-Purchasing, Inventory, and Disposal (November 10, 2016)~~
- ~~• OCDB Information Notice 16-OCWDB-06, Allowable Costs-Workforce Innovation and Opportunity Act (March 23, 2017).~~

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~~Inventory, and Disposal (November 10, 2016)~~

- ~~• Workforce Services Directive WSD14-13, Property Prior Approval, Purchasing, Inventory, and Disposal (April 29, 2015)~~
- ~~• OCWIB Information Notice 16-OCDB-04, Property Prior Approval, Purchasing, Inventory, and Disposal (March 23, 2017)~~
- ~~• OCDB Information Notice 165-OCWDB-068, Allowable Costs-Workforce Innovation and Opportunity Act (February 25, 2016) (March 23, 2017).~~
- ~~• OCWIB Information Notice 14-OCWDA-10, Property Prior Approval, Purchasing, Inventory, and Disposal (July 1, 2015)~~
- ~~• For information on allowable costs under the former OMB guidance, refer to WIAD03-10 and Information Notice OCWDA-18, Allowable Costs-Workforce Investment Act, (June 16, 2004).~~

BACKGROUND

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On December 26, 2013, the U.S. Office of Management and Budget (OMB) issued the Uniform Guidance under Title 2 CFR Part 200, which established uniform administrative requirements, cost principles, and audit requirements for federal awards. The Uniform Guidance consolidated multiple, previously separate, sets of OMB guidance into one combined set of rules. The following year, the United States Department of Labor (DOL) adopted the OMB Uniform Guidance and issued DOL Exceptions under Title 2 CFR Part 2900. ~~For more information on Title 2 CFR Part 2900, please see Title 2 CFR Part 2900.~~

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The Uniform Guidance applies to all Federal awards made on or after December 26, 2014. Therefore, beginning with WIOA Program Year 2015-16 funds, all subrecipients of this funding must adhere to the Uniform Guidance, DOL Exceptions, and corresponding WIOA administrative requirements, cost principles, and audit requirements. For more information on Uniform Guidance Implementation, please see TEGL 15-14.

POLICY AND PROCEDURES

Definitions-DEFINITIONS

Equipment - Tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals

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or exceeds the lesser of the capitalization level established by the non-federal entity for financial statement purposes, or \$5,000 (Uniform Guidance Section 200.33).

Please note, Uniform Guidance specifies that equipment includes: information technology systems, computing devices, software, and services (including support services). *This includes fees for licensing or subscriptions to software and software support services. Even if a monthly subscription fee is under \$5,000, if the total annual cost for the subscription exceeds \$5,000, then prior approval must be obtained.*

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General Purpose Equipment - Equipment which is not limited to research, medical, scientific, or other technical activities. Examples include office equipment and furnishings modular offices, telephone networks, information technology equipment and systems, air conditioning equipment, reproduction and printing equipment, and motor vehicles (Uniform Guidance Section 200.48).

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Information technology systems - Computing devices, ancillary equipment, software, firmware, and similar procedures, services (including support services), *licensing or subscriptions to software and software support services* and related services (Uniform Guidance Section 200.58).

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Intangible Property - Property having no physical existence, such as trademarks, copyrights, patents, ~~and~~ patent applications, and property, such as loans, notes and other debt instruments, lease agreements, stock, and other instruments of property ownership (whether the property is tangible or intangible) (Uniform Guidance Section 200.59).

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Personal Property - Property other than real property. It may be tangible, having physical existence or intangible (Uniform Guidance Section 200.78).

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Property - Real property or personal property (Uniform Guidance Section 200.81).

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Real Property - Land, including land improvements, structures, and appurtenances thereto, but excludes moveable machinery and equipment (Uniform Guidance Section 200.85).

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Subrecipient - A non-federal entity that receives a subaward from a pass-through entity to carry out part of a federal program but does not include an individual that is a beneficiary of such program. A subrecipient may also be a recipient of other federal awards directly from a federal awarding agency (Uniform Guidance Section 200.93).

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Supplies - All tangible personal property other than equipment. A computing device is a supply if the acquisition cost is less than the lesser of the capitalization level established by the non-federal entity for financial statement purposes or \$5,000, regardless of the length of its useful life (Uniform Guidance Section 200.94).

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POLICY AND PROCEDURES

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~~The Orange County Workforce Development Board (OCWDB) and its subrecipients, as a Each Orange County Workforce Development Board (OCWDB) WIOA recipients subrecipient of that receives funds under WIOA Title I funds isare-is~~ required to comply with Uniform Guidance [WIOA Section 184(a)(3)]. This includes general principles and guidance on selected items of cost. However, if more restrictive city, county local, state, or federal guidelines exist, they must take precedence. ~~OCDBOCWDB WIOA and its~~ subrecipients should review and update their internal policies and procedures to ensure compliance with the new guidance.

This policy transmits a high-level matrix, issued by EDD, listing the various cost items referenced in Uniform Guidance, 2 CFR parts 200.420 through 200.475 (Attachment 14). The columns in the matrix contain the various entity types, the specific CFR sections, and DOL Exceptions sections (if applicable). The matrix also provides a quick reference guide indicating whether a cost item is allowable or not. ~~OCDBOCWDB and its WIOA~~ subrecipients can use the matrix as an initial tool, rather than a final authority, in determining whether or not a cost is allowable.

In general, to be an allowable charge to the WIOA, a cost must meet the following criteria:

- Be necessary and reasonable for the performance of the award;
- Be allocable to the award;
- Conform to any limitations or exclusions set forth in the award;
- Be consistent with policies and procedures that apply uniformly to both federally-financed and other activities of the non-federal entity;
- Be accorded consistent treatment;
- Be determined in accordance with generally accepted accounting principles;
- Not be used to meet cost sharing or matching requirements of any other federally-financed program (without prior approval from the state); and,
- Be adequately documented.

Expenditure of WIOA funds is only allowable for those activities permitted by the WIOA statute or federal regulations. Required and permissible program activities for adult and dislocated workers can be found in the WIOA Section 134(c) and (d), respectively. Similarly, allowable program activities for the youth program can be found in WIOA Section 129.

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Funds awarded prior to December 26, 2014

~~Funding received prior to December 26, 2014 (i.e., PY 2014-15 funds and before) must continue to follow the terms and conditions of these awards, including the cost principles required under the former OMB circulars. For information on allowable costs~~

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~~under the former OMB circulars, please refer to Workforce Investment Act WIAD03-10. [On allowable costs under the former OMB circulars, see also local policy, Information Notice OCWDA-18, Allowable Costs—Workforce Investment Act, June 16, 2004.]~~

Prohibited Use of Funds

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Lobbying

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Subrecipients that receive WIOA Title I funds must comply with the restrictions on political activities as specified in WIOA Section 195. This provision prohibits the use of WIOA Title I funds for publicity or propaganda purposes, or for materials designed to support or defeat the enactment of federal, state, or local legislation; proposed or pending regulation; administrative action; or order issued by the executive branch of any state or local government. This also includes prohibition of the use of Title I funds for activities designed to influence the enactment or issuance of legislation; appropriations; regulations; administrative action; or an Executive Order proposed or pending before Congress, any state government, state or local legislature, or legislative body.

Marijuana Industry

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Uniform Guidance Section 200.331 requires ~~OCDBOCWDB~~, as the pass-through entity, to advise subrecipients of imposed requirements by federal laws, regulations, and the provisions of contracts or grant agreements, as well as additional requirements imposed by the state. Although California passed Proposition 64, in accordance with federal law (21 U.S.C 812), marijuana is classified as a Schedule 1 narcotic, and is therefore illegal from a federal standpoint.

All grant agreements between the DOL and the state, and between the state and ~~OCDBOCWDB~~ must follow all applicable federal statute, regulations, policies, and state requirements. Therefore, in accordance with federal law, WIOA funds cannot be used to directly or indirectly support the marijuana industry including, but not limited to, use, possession, growth or distribution of marijuana. WSD16-16 specifies that this applies to WIOA; Wagner-Peyser; Trade Adjustment Assistance; Veterans' Employment and Training Service; and National Dislocated Worker Grant programs and services including, but not limited to, training, employer outreach, hiring events, career counseling, job orders and referrals.

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Prior Written Approval

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The Uniform Guidance includes administrative requirements and cost items that are allowable only with prior written approval from the federal awarding agency or pass through entity. Subrecipients should review the terms and conditions of their grant agreements or executed contracts to determine the appropriate authority to grant prior approval. As the pass-through entity of WIOA Title I funds, the EDD is responsible for granting prior approval in most cases. ~~OCDBOCWDB~~ is responsible for reviewing these

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requests from **OCDBOCWDB** subrecipients and granting prior approval at the local level and submitting the requests to EDD for approval.

Under any given federal award, the reasonableness and allocability of certain cost items may be difficult to determine. In order to avoid subsequent disallowance or dispute, subrecipients should obtain prior written approval for the incurrence of special or unusual costs.

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The matrix below outlines the key sections on the Uniform Guidance related Cost Principles under 2 CFR parts 200.402 through 200.415.

Circumstance	Section
Composition of costs	§200.402
Factors affecting allowability of costs	§200.403
Reasonable costs	§200.404
Allocable costs	§200.405
Applicable credits	§200.406
Prior written approval (prior approval)	§200.407
Limitation on allowance of costs	§200.408
Special considerations	§200.409
Collection of unallowable costs	§200.410
Adjustment of previously negotiated indirect (F&A) cost rates containing unallowable costs	§200.411
Classification of costs	§200.412
Direct costs	§200.413
Indirect (F&A)-costs	§200.414
Required certifications	§200.415

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The following matrix lists key sections of the Uniform Guidance that address when prior written approval is required.

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Circumstance	Section
Use of grant agreements (including fixed amount awards), cooperative agreements, and contracts	§200.201 , paragraph (b)(5)
Cost sharing or matching	§200.306
Program income	§200.307
Revision of budget and program plans	§200.308
Real property	§200.311
Equipment	§200.313
Fixed amount sub awards	§200.332 §200.333
Direct costs	§200.413 , paragraph (c)
Compensation—personal services	§200.430 , paragraph (h)

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Compensation—fringe benefits	\$200.431
Entertainment costs	\$200.438
Equipment and other capital expenditures	\$200.439
Exchange rates	\$200.440
Fines, penalties, damages and other settlements	\$200.441
Fund raising and investment management costs	\$200.442
Goods or services for personal use	\$200.445
Insurance and indemnification	\$200.447
Memberships, subscriptions, and professional activity costs	\$200.454 , paragraph (c)
Organization costs	\$200.455
Participant support costs	\$200.456
Pre-award costs	\$200.458
Rearrangement and reconversion costs	\$200.462
Selling and marketing costs	\$200.467
Taxes (including Value Added Tax)	\$200.470
Travel costs	\$200.474 \$200.475

Subrecipients should thoroughly review the Uniform Guidance sections referenced above to determine when prior written approval must be obtained and assess if their specific circumstance(s) require prior approval. As indicated in DOL Exception Section 2900.407, inclusion of item(s) in the statement of work or budget when awarded **does not** constitute prior approval; subrecipients must still follow all applicable policies and procedures outlined in the State directive WSD16-16 and this policy.

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Property procurements with a unit acquisition cost of \$5,000 or more must have prior written approval. A non-property related purchase or circumstance that fits into one of the above referenced categories may still require prior written approval, regardless of the dollar amount.

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Prior Written Approval Procedures

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OCDBOCWDB subrecipients must complete and submit the OCDBOCWDB Subrecipient Prior Written Approval Request (Attachment II), along with all necessary supporting documentation, to the OCDBOCWDB Executive Director less than 45 days before the requested action is to occur.

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Consistent with the requirements in WSD16-16, OCDBOCWDB will consider the following factors in its review of the requests:

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- OCDBOCWDB Is this purchase necessary and reasonable?
- OCDBOCWDB Have the best products been selected?
- OCDBOCWDB What other costs are associated with the purchase?
- OCDBOCWDB If applicable, what procurement method will be used?
- OCDBOCWDB If applicable, was a lease option considered in lieu of the purchase?

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The OCDBOCWDB Subrecipient Prior Written Approval Request and supporting documentation can be submitted to the assigned Contract Administrator electronically or via mail to the following address:

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ATTN: (Name of Contract Administrator)
Orange County Workforce Development Board
1300 South Grand Avenue, 3rd-2nd floor Bldg. B
Santa Ana, CA 92705

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OCDBOCWDB shall review the subrecipient's written request for prior approval and, following the state requirements in WSD16-16, shall submit the corresponding OCDBOCWDB request for approval to the assigned Regional Advisor.

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Subrecipients will receive a formal notification from their assigned Contract Administrator providing approval or denial of their request. Written approval must be received prior to the cost being incurred. Approval is based on the supplied justification and supporting documentation for the proposed expenditure. If the actual expenditure is not in accordance with the justification or Uniform Guidance requirements, the expenditure can still be questioned or disallowed. Factors affecting this include, but are not limited to, the following:

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- Inadequate justification
- Failure to follow internal, state, or federal policies
- Expenditure is not necessary or reasonable
- Failure to comply with applicable federal law or regulations

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The matrix below outlines the key sections on the Uniform Guidance related Cost Principles and Direct and Indirect (F&A) Costs under 2 CFR parts 200.402 through 200.415.

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<u>Circumstance</u>	<u>Section</u>
<u>Composition of costs</u>	<u>§200.402</u>
<u>Factors affecting allowability of costs</u>	<u>§200.403</u>
<u>Reasonable costs</u>	<u>§200.404</u>
<u>Allocable costs</u>	<u>§200.405</u>
<u>Applicable credits</u>	<u>§200.406</u>
<u>Prior written approval (prior approval)</u>	<u>§200.407</u>
<u>Limitation on allowance of costs</u>	<u>§200.408</u>
<u>Special considerations</u>	
<u>Collection of unallowable costs</u>	<u>§200.410</u>
<u>Adjustment of previously negotiated indirect (F&A) cost rates containing unallowable costs</u>	<u>§200.411</u>
<u>Classification of costs</u>	<u>§200.412</u>
<u>Direct costs</u>	<u>§200.413</u>
<u>Indirect (F&A) costs</u>	<u>§200.414</u>

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Required certifications	\$200,415
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Documentation

Supporting documentation must be retained for all costs associated with a prior approval request. The documentation must establish that the expenditure meets the following criteria:

- Meets the cost principles (is necessary and reasonable for proper and efficient performance and administration of the grant)
- Is allocable to the grant based upon the benefits received.
- Is authorized or not prohibited under state or local laws and regulations.
- Conforms to any limitations or exclusions of cost item types or amounts, as set forth in the Uniform Guidance, federal law, federal award, or other governing regulations.
- Is consistent with applicable policies, regulations, and procedures.

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ACTION

Bring this policy to the attention of all staff and relevant parties. Please bring this directive to the attention of all appropriate staff.

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INQUIRIES

If you have any questions regarding this policy, please email [contact your Contract Administrator by calling 714-480-6500, 866-500-6587](mailto:info@ocworkforcesolutions.com) info@ocworkforcesolutions.com.

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ATTACHMENTS

1. [Cost Items Matrix](#)
2. [OCDBOCWDB Subrecipient Prior Written Approval Request](#)

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~~INFORMATION NOTICE 16-OCDB-06~~
~~ALLOWABLE COSTS AND PRIOR WRITTEN APPROVAL~~
~~MARCH 23, 2017-OCTOBER 31, 2024~~
~~PAGE 10 OF 15~~

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COST ITEMS MATRIX

ATTACHMENT I

THIS COST ITEMS MATRIX SHOULD ONLY BE USED AS A QUICK REFERENCE GUIDE.

The *Workforce Innovation and Opportunity Act (WIOA)*, Title 2 *Code of Federal Regulations (CFR) Part 200 (Uniform Guidance)*, and Title 2 *CFR Part 2900 (Department of Labor [DOL] Exceptions)*, contain definitive guidance and final authority for determining whether or not a cost is allowable.

The matrix on the following pages identifies the cost items and different types of entities. When determining whether the cost of an item is allowable, users must also refer to the applicable sections of the Uniform Guidance, DOL Exceptions, and WIOA.

Failure to address a particular cost item is not intended to imply that it is allowable or unallowable. Rather, the determination of allowability in each case must be based on the treatment or principles provided for similar or related costs. In the case of a discrepancy between the Uniform Guidance and the provisions of a specific federal award administered by the pass-through entity, the federal award provisions govern. Note also that, in some instances, different cost items may be similarly named, and there may be some overlap between the various cost items.

When reviewing the matrix please use the following legend:

Legend Key	Legend Key Definition
A	Allowable
AP	Allowable with Prior Approval

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AC	Allowable with Conditions
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If a cost item is denoted with two or more legend keys, users should delve further into the various information sources as they may provide the additional clarity that is needed. If this effort does not provide the necessary information, then subrecipients should contact their Regional Advisor/Project Manager.

The “NS” legend key denotes that information may not be readily available. In this event, the subrecipient should seek other sources before contacting their Regional Advisor/Project Manager.

The “AP” legend key denotes that, in some instances, prior written approval will be required from the Cognizant Agency or Governor. In this event, one should adhere to the Uniform Guidance Section 200.407, DOL Exceptions Section 2900.16, and review the existing policies and procedures established in Workforce Services Directive WSD14-13 Workforce Services Directive WSD16-16, until further guidance is provided by the state.

	Cost Item	Educational Institutions	Non-Profit Organizations	State, Local and Indian Tribal Governments	Uniform Guidance Section	DOL Exception Section
1	Advertising and public relations	A/U	A/U	A/U	200.421	
2	Advisory councils	AC/U	AC/U	AC/U	200.422	
3	Alcoholic beverages	U	U	U	200.423	
4	Alumni/ae activities	U	NS	NS	200.424	
5	Audit services	AC/U	AC/U	AC/U	200.425	
6	Bad debts	U	U	U	200.426	
7	Bonding costs	A	A	A	200.427	
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10	Compensation – personal services	A/U	A/U	A/U	200.430	
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16	Depreciation	AC	AC	AC	200.436	
17	Employee health and welfare costs	A	A	A	200.437	
18	Entertainment costs	U/AP	U/AP	U/AP	200.438	
19	Equipment and other capital expenditures	AP/U	AP/U	AP/U	200.439	
20	Exchange rates	AP	AP	AP	200.440	

ALLOWABLE COSTS - WORKFORCE INNOVATION AND OPPORTUNITY ACT

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MARCH 23, 2017 - OCTOBER 21, 2024

	Cost Item	Educational Institutions	Non-Profit Organizations	State, Local and Indian Tribal Governments	Uniform Guidance Section	DOL Exception Section
21	Fines, penalties, damages and other settlements	U/AP	U/AP	U/AP	200.441	
22	Fund raising and investment management costs	U/AP/A	U/AP/A	U/AP/A	200.442	
23	Gains and losses on disposition of depreciable assets	AC	AC	AC	200.443	
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27	Insurance and indemnification	AC/U	AC/U	AC/U	200.447	
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40	Proposal costs	A	A	A	200.460	
41	Publication and printing costs	A	A	A	200.461	
42	Rearrangement and reconversion costs	A/AP	A/AP	A/AP	200.462	
43	Recruiting costs	A/U	A/U	A/U	200.463	
44	Relocations costs of employees	AC/U	AC/U	AC/U	200.464	
45	Rental costs of real property and equipment	AC/U	AC/U	AC/U	200.465	
46	Scholarships and student aid costs	AC	NS	NS	200.466	
47	Selling and marketing	U/AP	U/AP	U/AP	200.467	
48	Specialized service facilities	AC	AC	AC	200.468	
49	Student activity costs	U/AP	U/AP	U/AP	200.469	2900.19
50	Taxes	AC	AC	AC	200.470	
51	Termination costs	AC/U	AC/U	AC/U	200.471	
52	Training and education costs	A	A	A	200.472	
53	Transportation costs	A	A	A	200.473	
54	Travel costs	AC	AC	AP	200.474	
55	Trustees	A	A	NS	200.475	

~~ALLOWABLE COSTS - WORKFORCE INNOVATION AND OPPORTUNITY ACT~~
~~PAGE 10 OF 15~~
~~MARCH 23, 2017 - OCTOBER 21, 2024~~

ATTACHMENT II

Orange County Workforce Development Board (~~OCDBOCWDB~~)
Subrecipient Prior Written Approval Request

Subrecipient Name _____

Subrecipient Program _____ Request Date _____

Instructions:

- For Prior Written Approval Requests that include costs, complete Sections A, C and D. For requests that do not include costs, complete Sections B, C and D.
- Refer to State Directive WSD16-16 dated February 21, 2017 for guidance on Prior Written Approval before completing this request form.

Section A – Requests that include costs

~~ALLOWABLE COSTS – WORKFORCE INNOVATION AND OPPORTUNITY ACT~~
~~PAGE 11 OF 15~~
~~MARCH 23, 2017-OCTOBER 21, 2024~~

Item of cost being requested _____

Estimated total cost _____

Is this purchase necessary and reasonable? Describe the item of cost and its functionality.

Is the purchase needed? Describe the reason for the purchase/rent/subscription including functionality not provided by state or local partners.

What other costs are associated with the purchase? Describe additional costs (maintenance, set up, taxes, fees, etc.) associated with the purchase.

Have the best products been selected? Describe how the product will be selected.

If applicable, what procurement method will be used? Describe the procurement method selected.

If applicable, was a lease option considered in lieu of the purchase? Describe leasing options as part of the consideration.

If applicable, name and address of the entity where the property will be located.

Section B – Requests that do not include costs but still require prior written approval

Describe the circumstance that requires prior written approval.

Section C – 45-day requirement

Is this request being made more than 45 days before the requested action is to occur?

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~~PAGE 12 OF 15~~
~~MARCH 23, 2017 - OCTOBER 21, 2024~~

Yes No

If approved, date that the requested action is to occur. _____

Section D - Signature

By signing below, the authorized representative requests a prior written approval for the item of cost listed above.

Name _____ Signature _____
Title _____ Date _____

For ~~OCDBOCWDB~~ Use

Contract Administrator _____ Date _____
Executive Director _____ Date _____

(If computer-related equipment, software or subscription is being purchased, the OCCR IT Unit's recommendation is required.)



DYLAN WRIGHT
DIRECTOR
OC COMMUNITY RESOURCES

CYMANTHA ATKINSON
ASSISTANT DIRECTOR
OC COMMUNITY RESOURCES

JOANNE VEEDOR
DIRECTOR
ADMINISTRATIVE SERVICES

MONICA SCHMIDT
DIRECTOR
OC ANIMAL CARE

JULIA BIDWELL
DIRECTOR
OC HOUSING & COMMUNITY
DEVELOPMENT

RENEE RAMIREZ
DIRECTOR
OC COMMUNITY SERVICES

PAM PASSOW
DIRECTOR
OC PARKS

JULIE QUILLMAN
COUNTY LIBRARIAN
OC PUBLIC LIBRARIES

OC Community Resources

Date: October 30, 2024
To: WIOA Subrecipients of the Orange County Workforce Development Board
From: Nancy Cook
Director of Workforce and Economic Development
Subject: Allowable Costs and Prior Written Approval Information Notice No.24-OCWDB-09
Supersedes Information Notice No. 16-OCDB-06

PURPOSE

This policy provides federal and state guidance regarding general cost principles, allowable costs and prior written approval related to Workforce Innovation and Opportunity Act (WIOA) funds. This policy applies to subrecipients of WIOA funds.

EFFECTIVE DATE

This policy is effective on the date of issuance.

REFERENCES

- WIOA (Public Law 113-128) Sections 184(a)(3), 134(c)-(d), and 129
- Title 2 Code of Federal Regulations (CFR) Part 200, *“Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards” (Uniform Guidance)*
- Title 2 Code of Federal Regulations (CFR) Part 2900, *“Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards”* [Department of Labor (DOL) Exceptions]
- Title 21 United States Code (USC) Section 812
- Training and Employment Guidance Letter (TEGL) 15-14, *Implementation of the New Uniform Guidance Regulations* (December 19, 2014)
- Workforce Services Directive WSD16-16, *Allowable Costs and Prior Written Approval* (February 21, 2017)
- Workforce Services Directive WSD16-10, *Property-Purchasing, Inventory, and Disposal* (November 10, 2016)
- OCDB Information Notice 16-OCWDB-06, *Allowable Costs-Workforce Innovation and Opportunity Act* (March 23, 2017).



1300 SOUTH GRAND
BLDG. B, SECOND FLOOR
SANTA ANA, CA 92705
PHONE: 866.500.6587
FAX: 714.567.7132

BACKGROUND

On December 26, 2013, the U.S. Office of Management and Budget (OMB) issued the [Uniform Guidance](#) under Title 2 CFR Part 200, which established uniform administrative requirements, cost principles, and audit requirements for federal awards. The Uniform Guidance consolidated multiple, previously separate, sets of OMB guidance into one combined set of rules. The following year, the United States Department of Labor (DOL) adopted the OMB Uniform Guidance and issued DOL Exceptions under [Title 2 CFR Part 2900](#).

The Uniform Guidance applies to all Federal awards made on or after December 26, 2014. Therefore, beginning with WIOA Program Year 2015-16 funds, all subrecipients of this funding must adhere to the Uniform Guidance, DOL Exceptions, and corresponding WIOA administrative requirements, cost principles, and audit requirements. For more information on Uniform Guidance Implementation, please see [TEGL 15-14](#).

DEFINITIONS

Equipment - Tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-federal entity for financial statement purposes, or \$5,000 (Uniform Guidance Section 200.33).

Please note, Uniform Guidance specifies that equipment includes: information technology systems, computing devices, software, and services (including support services). *This includes fees for licensing or subscriptions to software and software support services. Even if a monthly subscription fee is under \$5,000, if the total annual cost for the subscription exceeds \$5,000, then prior approval must be obtained.*

General Purpose Equipment - Equipment which is not limited to research, medical, scientific, or other technical activities. Examples include office equipment and furnishings modular offices, telephone networks, information technology equipment and systems, air conditioning equipment, reproduction and printing equipment, and motor vehicles (Uniform Guidance Section 200.48).

Information technology systems - Computing devices, ancillary equipment, software, firmware, and similar procedures, services (including support services), *licensing or subscriptions to software and software support services* and related services (Uniform Guidance Section 200.58).

Intangible Property - Property having no physical existence, such as trademarks, copyrights, patents, patent applications, and property such as loans, notes and other debt instruments, lease agreements, stock, and other instruments of property ownership (whether the property is tangible or intangible) (Uniform Guidance Section 200.59).

Personal Property - Property other than real property. It may be tangible, having physical existence or intangible (Uniform Guidance Section 200.78).

Property - Real property or personal property (Uniform Guidance Section 200.81).

Real Property - Land, including land improvements, structures, and appurtenances thereto, but excludes moveable machinery and equipment (Uniform Guidance Section 200.85).

Subrecipient - A non-federal entity that receives a subaward from a pass-through entity to carry out part of a federal program but does not include an individual that is a beneficiary of such program. A subrecipient may also be a recipient of other federal awards directly from a federal awarding agency (Uniform Guidance Section 200.93).

Supplies - All tangible personal property other than equipment. A computing device is a supply if the acquisition cost is less than the lesser of the capitalization level established by the non-federal entity for financial statement purposes or \$5,000, regardless of the length of its useful life (Uniform Guidance Section 200.94).

POLICY AND PROCEDURES

The Orange County Workforce Development Board (OCWDB) and its subrecipients, as recipients of WIOA Title I funds are required to comply with Uniform Guidance [WIOA Section 184(a)(3)]. This includes general principles and guidance on selected items of cost. However, if more restrictive city, county, state, or federal guidelines exist, they must take precedence. OCWDB and its subrecipients should review and update their internal policies and procedures to ensure compliance with the new guidance.

This policy transmits a high-level matrix, issued by EDD, listing the various cost items referenced in Uniform Guidance, 2 CFR parts 200.420 through 200.475 (Attachment I). The columns in the matrix contain the various entity types, the specific CFR sections, and DOL Exceptions sections (if applicable). The matrix also provides a quick reference guide indicating whether a cost item is allowable or not. OCWDB and its subrecipients can use the matrix as an initial tool, rather than a final authority, in determining whether or not a cost is allowable.

In general, to be an allowable charge to the WIOA, a cost must meet the following criteria:

- Be necessary and reasonable for the performance of the award;
- Be allocable to the award;
- Conform to any limitations or exclusions set forth in the award;
- Be consistent with policies and procedures that apply uniformly to both federally-financed and other activities of the non-federal entity;
- Be accorded consistent treatment;
- Be determined in accordance with generally accepted accounting principles;
- Not be used to meet cost sharing or matching requirements of any other federally-financed program (without prior approval from the state); and,
- Be adequately documented.

Expenditure of WIOA funds is only allowable for those activities permitted by the WIOA statute or federal regulations. Required and permissible program activities for adult and dislocated workers can be found in the WIOA Section 134(c) and (d), respectively. Similarly, allowable program activities for the youth program can be found in WIOA Section 129.

Prohibited Use of Funds

Lobbying

Subrecipients that receive WIOA Title I funds must comply with the restrictions on political activities as specified in WIOA Section 195. This provision prohibits the use of WIOA Title I funds for publicity or propaganda purposes, or for materials designed to support or defeat the enactment of federal, state, or local legislation; proposed or pending regulation; administrative action; or order issued by the executive branch of any state or local government. This also includes prohibition of the use of Title I funds for activities designed to influence the enactment or issuance of legislation; appropriations; regulations; administrative action; or an Executive Order proposed or pending before Congress, any state government, state or local legislature, or legislative body.

Marijuana Industry

Uniform Guidance Section 200.331 requires OCWDB, as the pass-through entity, to advise subrecipients of imposed requirements by federal laws, regulations, and the provisions of contracts or grant agreements, as well as additional requirements imposed by the state. Although California passed Proposition 64, in accordance with federal law (21 U.S.C 812), marijuana is classified as a Schedule 1 narcotic, and is therefore illegal from a federal standpoint.

All grant agreements between the DOL and the state, and between the state and OCWDB must follow all applicable federal statute, regulations, policies, and state requirements. Therefore, in accordance with federal law, WIOA funds cannot be used to directly or indirectly support the marijuana industry including, but not limited to, use, possession, growth or distribution of marijuana. WSD16-16 specifies that this applies to WIOA; Wagner-Peyser; Trade Adjustment Assistance; Veterans' Employment and Training Service; and National Dislocated Worker Grant programs and services including, but not limited to, training, employer outreach, hiring events, career counseling, job orders and referrals.

Prior Written Approval

The Uniform Guidance includes administrative requirements and cost items that are allowable only with prior written approval from the federal awarding agency or pass through entity. Subrecipients should review the terms and conditions of their grant agreements or executed contracts to determine the appropriate authority to grant prior approval. As the pass-through entity of WIOA Title I funds, the EDD is responsible for granting prior approval in most cases. OCWDB is responsible for reviewing these requests from OCWDB subrecipients and granting prior approval at the local level and submitting the requests to EDD for approval.

Under any given federal award, the reasonableness and allocability of certain cost items may be difficult to determine. In order to avoid subsequent disallowance or dispute, subrecipients should obtain prior written approval for the incurrence of special or unusual costs.

The matrix below outlines the key sections on the Uniform Guidance related Cost Principles under 2 CFR parts 200.402 through 200.415.

Circumstance	Section
Composition of costs	§200.402
Factors affecting allowability of costs	§200.403
Reasonable costs	§200.404
Allocable costs	§200.405
Applicable credits	§200.406
Prior written approval (prior approval)	§200.407
Limitation on allowance of costs	§200.408
Special considerations	§200.409
Collection of unallowable costs	§200.410
Adjustment of previously negotiated indirect (F&A) cost rates containing unallowable costs	§200.411
Classification of costs	§200.412
Direct costs	§200.413
Indirect costs	§200.414
Required certifications	§200.415

The following matrix lists key sections of the Uniform Guidance that address when prior written approval is required.

Circumstance	Section
Use of grant agreements (including fixed amount awards), cooperative agreements, and contracts	§200.201 , paragraph (b)(5)
Cost sharing or matching	§200.306
Program income	§200.307
Revision of budget and program plans	§200.308
Real property	§200.311
Equipment	§200.313
Fixed amount sub awards	§200.333
Direct costs	§200.413 , paragraph (c)
Compensation—personal services	§200.430 , paragraph (h)
Compensation—fringe benefits	§200.431
Entertainment costs	§200.438
Equipment and other capital expenditures	§200.439
Exchange rates	§200.440
Fines, penalties, damages and other settlements	§200.441
Fund raising and investment management costs	§200.442
Goods or services for personal use	§200.445
Insurance and indemnification	§200.447
Memberships, subscriptions, and professional activity costs	§200.454 , paragraph (c)
Organization costs	§200.455
Participant support costs	§200.456
Pre-award costs	§200.458
Rearrangement and reconversion costs	§200.462
Selling and marketing costs	§200.467
Taxes (including Value Added Tax)	§200.470
Travel costs	§200.475

Subrecipients should thoroughly review the Uniform Guidance sections referenced above to determine when prior written approval must be obtained and assess if their specific circumstance(s) require prior approval. As indicated in DOL Exception Section 2900.407, inclusion of item(s) in the statement of work or budget when awarded **does not** constitute prior approval; subrecipients must still follow all applicable policies and procedures outlined in the State directive WSD16-16 and this policy.

Property procurements with a unit acquisition cost of \$5,000 or more must have prior written approval. A non-property related purchase or circumstance that fits into one of the above referenced categories may still require prior written approval, regardless of the dollar amount.

Prior Written Approval Procedures

OCWDB subrecipients must complete and submit the OCWDB Subrecipient Prior Written Approval Request (Attachment II), along with all necessary supporting documentation, to the OCWDB Executive Director less than 45 days before the requested action is to occur.

Consistent with the requirements in WSD16-16, OCWDB will consider the following factors in its review of the requests:

- Is this purchase necessary and reasonable?
- Have the best products been selected?
- What other costs are associated with the purchase?
- If applicable, what procurement method will be used?
- If applicable, was a lease option considered in lieu of the purchase?

The OCWDB Subrecipient Prior Written Approval Request and supporting documentation can be submitted to the assigned Contract Administrator electronically or via mail to the following address:

ATTN: (Name of Contract Administrator)
 Orange County Workforce Development Board
 1300 South Grand Avenue, 2nd floor Bldg. B
 Santa Ana, CA 92705

OCWDB shall review the subrecipient's written request for prior approval and, following the state requirements in WSD16-16, shall submit the corresponding OCWDB request for approval to the assigned Regional Advisor.

Subrecipients will receive a formal notification from their assigned Contract Administrator providing approval or denial of their request. Written approval must be received prior to the cost being incurred. Approval is based on the supplied justification and supporting documentation for the proposed expenditure. If the actual expenditure is not in accordance with the justification or Uniform Guidance requirements, the expenditure can still be questioned or disallowed. Factors affecting this include, but are not limited to, the following:

- Inadequate justification

- Failure to follow internal, state, or federal policies
- Expenditure is not necessary or reasonable
- Failure to comply with applicable federal law or regulations

Documentation

Supporting documentation must be retained for all costs associated with a prior approval request. The documentation must establish that the expenditure meets the following criteria:

- Meets the cost principles (is necessary and reasonable for proper and efficient performance and administration of the grant)
- Is allocable to the grant based upon the benefits received.
- Is authorized or not prohibited under state or local laws and regulations.
- Conforms to any limitations or exclusions of cost item types or amounts, as set forth in the Uniform Guidance, federal law, federal award, or other governing regulations.
- Is consistent with applicable policies, regulations, and procedures.

ACTION

Bring this policy to the attention of all staff and relevant parties.

INQUIRIES

If you have any questions regarding this policy, please email

info@ocworkforcesolutions.com.

ATTACHMENTS

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2. [OCWDB Subrecipient Prior Written Approval Request](#)

ATTACHMENT I

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6	Bad debts	U	U	U	200.426	
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23	Gains and losses on disposition of depreciable assets	AC	AC	AC	200.443	
24	General cost of government	NS	NS	U/A	200.444	
25	Goods or services for personal use	U/AP	U/AP	U/AP	200.445	
26	Idle facilities and idle capacity	AC/U	AC/U	AC/U	200.446	
27	Insurance and indemnification	AC/U	AC/U	AC/U	200.447	
28	Intellectual property	A/U	A/U	A/U	200.448	
29	Interest	AC/U	AC/U	AC/U	200.449	
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41	Publication and printing costs	A	A	A	200.461	
42	Rearrangement and reconversion costs	A/AP	A/AP	A/AP	200.462	

	Cost Item	Educational Institutions	Non-Profit Organizations	State, Local and Indian Tribal Governments	Uniform Guidance Section	DOL Exception Section
43	Recruiting costs	A/U	A/U	A/U	200.463	
44	Relocations costs of employees	AC/U	AC/U	AC/U	200.464	
45	Rental costs of real property and equipment	AC/U	AC/U	AC/U	200.465	
46	Scholarships and student aid costs	AC	NS	NS	200.466	
47	Selling and marketing	U/AP	U/AP	U/AP	200.467	
48	Specialized service facilities	AC	AC	AC	200.468	
49	Student activity costs	U/AP	U/AP	U/AP	200.469	2900.19
50	Taxes	AC	AC	AC	200.470	
51	Termination costs	AC/U	AC/U	AC/U	200.471	
52	Training and education costs	A	A	A	200.472	
53	Transportation costs	A	A	A	200.473	
54	Travel costs	AC	AC	AP	200.474	
55	Trustees	A	A	NS	200.475	

**Orange County Workforce Development Board (OCWDB)
Subrecipient Prior Written Approval Request**

Subrecipient Name _____

Subrecipient Program _____ Request Date _____

Instructions:

- For Prior Written Approval Requests that include costs, complete Sections A, C and D. For requests that do not include costs, complete Sections B, C and D.
- Refer to State Directive WSD16-16 dated February 21, 2017 for guidance on Prior Written Approval before completing this request form.

Section A – Requests that include costs

Item of cost being requested _____

Estimated total cost _____

Is this purchase necessary and reasonable? Describe the item of cost and its functionality.

Is the purchase needed? Describe the reason for the purchase/rent/subscription including functionality not provided by state or local partners.

What other costs are associated with the purchase? Describe additional costs (maintenance, set up, taxes, fees, etc.) associated with the purchase.

Have the best products been selected? Describe how the product will be selected.

If applicable, what procurement method will be used? Describe the procurement method selected.

If applicable, was a lease option considered in lieu of the purchase? Describe leasing options as part of the consideration.

If applicable, name and address of the entity where the property will be located.

Section B – Requests that do not include costs but still require prior written approval

Describe the circumstance that requires prior written approval.

Section C – 45-day requirement

Is this request being made more than 45 days before the requested action is to occur?

Yes No

If approved, date that the requested action is to occur. _____

Section D – Signature

By signing below, the authorized representative requests a prior written approval for the item of cost listed above.

Name _____ Signature _____
Title _____ Date _____

For OCWDB Use	
Contract Administrator _____	Date _____
Executive Director _____	Date _____
(If computer-related equipment, software or subscription is being purchased, the OCCR IT Unit's recommendation is required.)	

CalJOBS Document Imaging and Scanning Policy

Redline and Clean Version

Information Notice No. 24-OCWDB-10

Supersedes Information No. 18-OCDB-13



OC Community Resources

~~April 25, 2019~~ **Date:** October 30, 2024

TO: ~~All~~ WIOA Subrecipients of the Orange County Workforce Development Board

FROM: ~~Carma Lacy~~ Nancy Cook
Director of Workforce and Economic Development
~~Director of Workforce Development~~

SUBJECT: CalJOBS Document Imaging and Scanning
Information Notice No. 24-OCWDB-XX18-OCDB-13
Supersedes Information Notices No. 18-OCDB-13

PURPOSE

This policy provides ~~instructions~~ guidance on document scanning and electronic signature procedures required when using the Document Imaging and Scanning Module in the CalJOBS system. ~~This policy also mandates and provides guidance on guides maintaining paperless files.~~

EFFECTIVE DATE

This policy is effective on the date of issuance.

REFERENCES

- ~~Workforce Services Information Notice WSIN 15-7, Subject: Implementation of the New Document Management and Scanning Module (August 28, 2015)~~
- WIOA (Public Law 113-128), Section 185
- CALJOBS Staff User Guide, Section 30: Manage Documents
- Training and Employment Guidance Letter (TEGL) 39-11 – DOL Guidance for Protecting PII
- US DHHS – Summary of HIPAA Privacy Rule
- Workforce Services Directives WSD-22-15, Subject: WIOA Data Validation Source Documentation
- 29 CFR § 97.42 - Retention and access requirements for records
- 20 CFR 683.220 – WIOA Requirements for PII
- WSD18-03- Pathway to services, referral, and enrollment

BACKGROUND

WIOA Section 185 of the Workforce Innovation and Opportunity Act (WIOA) requires recipients of Title I funds to keep records to permit the preparation of reports required by Title I. This policy applies to electronic file storage and documentation imaging standards in the administration of WIOA. As a form

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DYLAN WRIGHT
DIRECTOR
OC COMMUNITY RESOURCES

CYMANTHA ATKINSON
ASSISTANT DIRECTOR
OC COMMUNITY RESOURCES

JOANNE VEEDOR
DIRECTOR
ADMINISTRATIVE SERVICES

MONICA SCHMIDT
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~~of process improvement, the County is transitioning to a paperless environment using the Document Management and Scanning Module in CalJOBS. In addition, the use of document imaging leads to other efficiencies such as a reduction in the reliance on hard-copy files and the ability for monitoring of files electronically. The scanned documents will be stored in CalJOBS a secure, central database. On August 28, 2015, the State of California Employment Development Department (EDD) issued an Information Notice (WSIN 15-7) that advised on a new method of collecting and storing supporting documents used for various program verification purposes within the CalJOBS system. This new scanning system will eliminate the participant's need to provide documents multiple times when enrolling or co-enrolling between workforce development programs that are supported in CalJOBS. In addition, the use of document imaging leads to other efficiencies such as a reduction in the reliance on hard-copy files and the ability for monitoring of files electronically. The scanned documents will be stored online in a secure, central database.~~

POLICY AND PROCEDURES:

Document Scanning and Maintenance of Paperless Files

~~Through the use of Document Scanning, subrecipients are no longer required to maintain hard paper files of participant information that are scanned into the CalJOBS system. Additionally, documents scanned into the CalJOBS system take the place of hard files for verificat~~

POLICY AND PROCEDURES

Document Scanning and Maintenance of Paperless Files

~~With Document Scanning, Service Providers are required to maintain source documentation as physical files and/or as electronic files. no longer required to maintain hard paper case management files. All of participant information should be scanned and uploaded to CalJOBS and will take the place of hard files for verification, monitoring, and audit purposes. Service Providers must retain a physical file of the participant eligibility documents. Service Providers should follow the uniform guidance 29 CFR § 97.42- Retention and Access Requirements for Records. that are scanned into the CalJOBS system. Additionally, documents scanned into the CalJOBS system take the place of hard files for verification, monitoring, and audit purposes. Once documentation is properly scanned into the CalJOBS system, paper records should be destroyed (i.e. shredded) and any documents that have been saved to a computer hard drive, desktop, removable media, Cloud storage, or in other environments shall be deleted to protect Personally Identifiable Information (PII) and/ or Personal Health Information (PHI) data collected from participants. Such records shall only be maintained in the CalJOBS system unless a subrecipient chooses to maintain both a CalJOBS electronic file and a paper file.~~

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~~In the event of a CalJOBS system failure, Service Providers Subrecipients shall resort to the completion of paper-based, WIOA applications. Service Providers Subrecipients are required to upload the signed WIOA applications and all supporting documentation to the CalJOBS system within five (5) business days following the restoration of system functionality. Service Providers Subrecipients must annotate case notes in CalJOBS to indicate that the WIOA application process was completed during a period of system failure, detailing the date of application completion.~~

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~~Following the successful upload of all documents to CalJOBS and verification of the accuracy and completeness of the electronic records, Service Providers Subrecipients are instructed to destroy should shred all paper applications and supporting documentation by shredding to maintain confidentiality and compliance with data protection standards.~~

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~~Service Providers Subrecipients must ensure that all scanned documents into CalJOBS are complete, clear and legible, as well as and properly aligned, and eCompare uploaded documents to original to ensure all pages are included.~~

~~If any physical participant documents are prepared for delivering services (e.g supportive services packets or ITA packets), Service Providers should follow the uniform guidance 29 CFR § 97.42- Retention and Access Requirements for Records.~~

~~The oOriginal content of a scanned document must not be altered or modified once it has been finalized. While scanning the original document is preferred, scanning legible verified documents provided by partners may serve as sufficient documentation. Documents uploaded into the CalJOBS system must always be current and kept current through program participation. In addition, case notes must identify the intent and purpose of all documents that are uploaded into the CalJOBS system.~~

~~Service Providers Subrecipients must upload verification documents within in CalJOBS as soon as documentation is made available and follow in accordance with eligibility~~

guidelines, ~~and~~ timeframes, ~~and~~ data element validation requirements following Workforce Services Directives WSD-22-15. Service Providers Subrecipients must ensure that participant information is accurately reported in CalJOBS and that documents are uploaded for all fields that require verification.

- ~~WIOA Application- All WIOA Program eligibility documents need to be scanned and uploaded into the WIOA Application. (Refer to WIOA Title I Eligibility for source documentation requirements).~~
- ~~Document (Staff) - Staff can scan documents from the Document link located in the Staff section.~~
- ~~Case Notes section- Staff can scan documents into the Case Note section.~~

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Attaching Documents to Case Notes and/or Activities

All documents pertinent to participant activities should ~~be linked/attached to~~ their respective ~~be scanned through~~ case notes and/or activities to support those entries. Subrecipient- specific forms that aid in assessing the needs of the participant (e.g., supportive services determination, training eligibility determination, etc.) must be attached to the case notes of specific activities.

Service Providers Subrecipients must also link/attach documents to case notes and/or activities for documentation of services that are provided under the appropriate activity (e.g., job referral verification, resume assistance, etc.)

Electronic Signatures

Document Imaging includes the addition of electronic signatures to any necessary documents or forms. Signatures may be captured within CalJOBS or using ~~an~~ electronic software such as pDoc Signer or DocuSign. Service Providers Subrecipients are encouraged to use electronic signatures for participant convenience.

When signed within CalJOBS, signed copies of the WIOA application, OAS and IEP are automatically saved within the participant's Documents (Staff) Folder. However, any documents signed with the pDoc signer, or DocuSign must be uploaded onto a participant's Documents (Staff) Folder in CalJOBS.

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All scanners and signature pads purchased with County of Orange funds are the property of the County of Orange and staff must observe the proper care and use of the equipment. This equipment must also be listed on the subrecipient's Inventory List.

File Naming Convention

When uploading documents into the CalJOBS system, Service Providers subrecipients must provide detailed names for the uploaded documents, following the naming convention in Attachment I.

Procedures for Uploading Medical and/or Disability-Related Information

When uploading medical and/or disability-related information into CalJOBS, Service Providers subrecipients shall ensure that these documents are password protected ~~prior~~ before uploading. Service Providers Subrecipients shall ensure that these passwords

are available only to staff and to the County of Orange, should the need arise to review these documents.

Examples of medical and/or disability-related information include:

- Medical/health history
- Disability information
- Doctor's notes
- Disability benefits
- Driver's License indicating the need for corrective lenses
- Individualized Education Program (IEP)

If the document is password protected, please add “+PASSWORD” at the end of the filename.

ACTION

Bring this ~~Information Notice along with the attachment to the attention of policy to~~ all staff ~~and relevant parties.~~

INQUIRIES

If you have any questions ~~regarding this policy, please email~~ info@ocworkforcesolutions.com, ~~please contact the appropriate contract~~ ~~administration staff at 714-480-6500.~~

ATTACHMENTS

Attachment I: CalJOBS Document Scanning and File Naming Instructions and Procedures



DYLAN WRIGHT
DIRECTOR
OC COMMUNITY RESOURCES

CYMANTHA ATKINSON
ASSISTANT DIRECTOR
OC COMMUNITY RESOURCES

JOANNE VEEDOR
DIRECTOR
ADMINISTRATIVE SERVICES

MONICA SCHMIDT
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DEVELOPMENT

RENEE RAMIREZ
DIRECTOR
OC COMMUNITY SERVICES

PAM PASSOW
DIRECTOR
OC PARKS

JULIE QUILLMAN
COUNTY LIBRARIAN
OC PUBLIC LIBRARIES

OC Community Resources

Date: October 30,2024
To: WIOA Subrecipients of the Orange County Workforce Development Board
From: Nancy Cook
Director of Workforce and Economic Development
Subject: CalJOBS Document Imaging and Scanning Information Notice No. 24-OCWDB-10
Supersedes Information Notices No. 18-OCDB-13

PURPOSE

This policy provides guidance on document scanning and electronic signature procedures required when using the Document Imaging and Scanning Module in the CalJOBS system.

EFFECTIVE DATE

This policy is effective on the date of issuance.

REFERENCES

- WIOA (Public Law 113-128), Section 185
- CALJOBS Staff User Guide, Section 30: Manage Documents
- Training and Employment Guidance Letter (TEGL) 39-11 – DOL Guidance for Protecting PII
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BACKGROUND

WIOA Section 185 of the Workforce Innovation and Opportunity Act (WIOA) requires recipients of Title I funds to keep records to permit the preparation of reports required by Title I. This policy applies to electronic file storage and documentation imaging standards in the administration of WIOA. As a form of process improvement, the County is transitioning to a paperless environment using the Document Management and Scanning Module in CalJOBS. In addition, the use of document imaging leads to other efficiencies such as a reduction in the reliance on hard- copy files and the ability for monitoring of files electronically. The scanned documents will be stored in CalJOBS a secure, central database.



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POLICY AND PROCEDURES

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Service Providers are required to maintain source documentation as physical files and/or as electronic files. All participant information should be scanned and uploaded to CalJOBS and will take the place of hard files for verification, monitoring, and audit purposes. Service Providers must retain a physical file of the participant eligibility documents. Service Providers should follow the uniform guidance 29 CFR § 97.42-Retention and Access Requirements for Records. Once documentation is properly scanned into the CalJOBS system, paper records should be destroyed (i.e. shredded) and any documents that have been saved to a computer hard drive, desktop, removable media, Cloud storage, or other environments shall be deleted to protect Personally Identifiable Information (PII) and/ or Personal Health Information (PHI) data collected from participants.

In the event of a CalJOBS system failure, Service Providers shall resort to the completion of paper-based WIOA applications. Service Providers are required to upload the signed WIOA applications and all supporting documentation to the CalJOBS system within five (5) business days following the restoration of system functionality. Service Providers must annotate case notes in CalJOBS to indicate that the WIOA application process was completed during a period of system failure, detailing the date of application completion. Following the successful upload of all documents to CalJOBS and verification of the accuracy and completeness of the electronic records, Service Providers should shred all paper applications and supporting documentation to maintain confidentiality and compliance with data protection standards.

Service Providers must ensure that all scanned documents into CalJOBS are complete, legible, and properly aligned. Compare uploaded documents to original to ensure all pages are included.

The original content of a scanned document must not be altered or modified once it has been finalized. While scanning the original document is preferred, scanning legible verified documents provided by partners may serve as sufficient documentation. Documents uploaded into the CalJOBS system must always be current and kept current through program participation. In addition, case notes must identify the intent and purpose of all documents that are uploaded into the CalJOBS system.

Service Providers must upload verification documents in CalJOBS as soon as documentation is made available and follow eligibility guidelines, timeframes, and data element validation requirements following Workforce Services Directives WSD-22-15. Service Providers must ensure that participant information is accurately reported in CalJOBS and that documents are uploaded for all fields that require verification.

Attaching Documents to Case Notes and/or Activities

All documents pertinent to participant activities should be linked/attached to their respective case notes and/or activities to support those entries. Subrecipient-specific forms that aid in assessing the needs of the participant (e.g., supportive services determination, training eligibility determination, etc.) must be attached to the case notes of specific activities.

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All scanners and signature pads purchased with County of Orange funds are the property of the County of Orange and staff must observe the proper care and use of the equipment. This equipment must also be listed on the subrecipient's Inventory List.

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When uploading medical and/or disability-related information into CalJOBS, Service Providers shall ensure that these documents are password protected before uploading. Service Providers shall ensure that these passwords are available only to staff and to the County of Orange, should the need arise to review these documents.

Examples of medical and/or disability-related information include:

- Medical/health history
- Disability information
- Doctor's notes
- Disability benefits
- Driver's License indicating the need for corrective lenses
- Individualized Education Program (IEP)

If the document is password protected, please add “**+PASSWORD**” at the end of the filename.

ACTION

Bring this policy to all staff and relevant parties.

INQUIRIES

If you have any questions regarding this policy, please email info@ocworkforcesolutions.com.

ATTACHMENTS

Attachment I: CalJOBS Document Scanning and File Naming Instructions and Procedures

Incident Reporting of Waste, Fraud, and Abuse Policy

Redline and Clean Version

Information Notice No. 24-OCWDB-11

Supersedes Information No. 21-OCWDB-17, 13-OCWDA-01



OC Community Resources

~~[Date]~~ October 30, 2024

DYLAN WRIGHT
DIRECTOR
OC COMMUNITY RESOURCES

CYMANTHA ATKINSON
ASSISTANT DIRECTOR
OC COMMUNITY RESOURCES

~~JULIE LYONS~~ **JOANNE VEEDOR**
DIRECTOR
ADMINISTRATIVE SERVICES

~~ANDI BERNARD~~ **MONICA SCHMIDT**
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DIRECTOR
OC COMMUNITY SERVICES

~~TOM STARNES~~ **PAM PASSOW**
DIRECTOR
OC PARKS

JULIE QUILLMAN
COUNTY LIBRARIAN
OC PUBLIC LIBRARIES

To: WIOA and Other Subrecipients of the Orange County
Workforce Development Board Area

From: ~~Garma Lacy~~ Nancy Cook
Director of Workforce and Economic Development

Subject: Incident Reporting of Waste, Fraud and Abuse Policy
Information Notice No. 24-OCWDB-11
Supersedes Information Notice No. 21-OCWDB-17 and No. 13-
OCWDA-01

PURPOSE

This policy provides ~~the~~ guidance and establishes the procedures for reporting allegations of criminal fraud, program abuse, or criminal conduct involving grantees or other entities and Service Providers receiving federal funds through the Employment Development Department (EDD). ~~to the EDD Compliance Review Office (CRO).~~

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EFFECTIVE DATE

This policy is effective on the date of the ~~immediately upon~~ issuance.

REFERENCES

- Title 2 Code of Federal Regulations (CFR) Part 200: Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) Section 200.113
- Title 20 CFR Section 683.620
- DOL Training and Employment Guidance Letter (TEGL) 15-23 Employment and Training Administration (ETA) Grant Recipient Responsibilities for Reporting Instances of Suspected Fraud, Program Abuse and Criminal Conduct (July 12, 2012 June 11, 2024)
- EDD Workforce Services Directive 20-1224-03, Incident Reporting (May 11, 2021 September 17, 2024)

BACKGROUND

Information and complaints involving criminal fraud, waste, ~~abuse~~ abuse, or other criminal activity must be reported immediately to the Department of Labor's (DOL) Office of Inspector General (OIG) Hotline Portal and simultaneously reported to the Employment and Training Administration (ETA). Incident Reporting System through the Employment Development Department (EDD) Compliance Review Office (CRO). Service Providers may become aware of actual, potential, or suspected ~~The Inspector General~~ nal Act of 1978, as amended, authorizes the OIG to conduct audits and



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7

~~investigations related to alleged fraud, waste, abuse, misconduct, or other wrongdoing concerning such programs and operations. When an individual has knowledge of, or suspicion of a violation of the WIOA or its regulations, the individual must take prompt and appropriate action.; gross mismanagement or misuse of program funds; conduct violation; violations of regulations; and abuse in WIOA programs. Complaints of a noncriminal nature are to be handled according to OCWDB's Program Grievance and Complaint Policy. For information on complaints alleging discrimination~~

~~under WIOA Section 188 and/or Title 29 CFR Part 38, see OCWDB Nondiscrimination and Equal Opportunity Policy. When an individual has knowledge of or suspicion of a violation of WIOA or its regulations, the individual must take prompt and appropriate action.~~

DEFINITIONS
Definitions

Complaint – Allegations of criminal activity and serious misconduct incidents and allegations of fraud, waste, and abuse concerning federally-funded grants, contracts, programs and operations, and dangers to the public health and safety.

Emergency – A situation involving imminent health or safety concerns, or the imminent loss of funds exceeding an amount much larger than \$50,000 (e.g., \$500,000).

Employee/Participant Misconduct – Actions occurring during or outside work hours that reflect negatively on Orange County Workforce Development Board (OCWDB) or Employment Development Department or its mission including, but not limited to: conflict of interest or the appearance of conflict of interest involving outside employment, business and professional activities; the receipt or giving of gifts, fees, entertainment, and favors; misuse of federal property; and, misuse of official information and such other activities as might adversely affect the confidence of the public in the integrity of the ~~G~~government (29 CFR Part 0 and 5 CFR Parts 2635 and 5201) as well as serious violations of federal and state laws.

Fraud, Misfeasance, Nonfeasance or Malfeasance – Any alleged deliberate action or inaction which may be in violation of federal statutes and regulations. This category includes, but is not limited to, indications of bribery, forgery, extortion, embezzlement, theft of participant checks, kickbacks from participants or contractors, intentional payments to a contractor without the expectation of receiving services, payments to ghost (fake) enrollees, misuse of appropriated funds, and misrepresenting information in official reports.

Gross Mismanagement – Actions or situations arising out of management ineptitude or oversight and leading to a major violation of ~~the legislative/statutory (such as WIOA or W-P)~~ processes, regulations, or contract/grant provisions. Such actions or situations have the potential to severely hamper accomplishment of program goals, waste government resources, and jeopardize future support for a particular program or project. This category includes, but is not limited to, unauditible records, unsupported costs, highly inaccurate fiscal reports or program reports, payroll discrepancies, payroll deductions not paid to the Internal Revenue Service (IRS), and lack of good internal control procedures.

Incident Referrals – The OIG refers incidents and allegations concerning ETA programs to the ETA in instances where the OIG determines that the incident report does not have investigative or audit merit.

Misapplication of Funds – Any alleged deliberate use of funds, assets or property not authorized or provided for by legislation or regulations, grants, or contracts. This category includes, but is not limited to, nepotism, political patronage, use of participants for political activity, ineligible enrollees, conflict of interest, failure to report income from federal funds, violation of contract/grant procedures, and the use of federal funds for other than specified purposes. An incident report should be filed when there appears to be an intent to misapply funds rather than merely for a case of minor mismanagement. It should be noted that there are some exceptions related to nepotism for the Indian and Native American programs, as described in 20 CFR Section 684.630(d).

Subaward – An award provided by pass-through entity to a subrecipient for the subrecipient to carry out part of a federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.

Subrecipient – A non-federal entity that receives a subaward from a pass-through entity to carry out part of a federal award; but does not include an individual that is a beneficiary of such program. A subrecipient may also be a recipient of other federal awards directly from a federal awarding agency.-

POLICY AND PROCEDURES

All Service Providers must promptly report all allegations of WIOA-related fraud, program abuse, ~~and other~~ criminal activity to OCWDB, DOL's OIG, and ETA, ~~and the EDD Compliance Review Office (CRO).~~ Service Providers have a responsibility to be alert for instances of fraud, abuse, and criminal activity committed by staff, contractors, or program participants and to report all instances. Each Service Provider is to designate a staff member who will be responsible for reporting allegations. Service Provider must post instructions for staff and the general public on how to report fraud, waste or abuse. These instructions shall include to the County of Orange Fraud Hotline.

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Reporting

A Service Provider must report an alleged incident within **one working day** of detection by completing the following steps:-

1. Complete ~~the relevant fields on the OIG Hotline Portal*~~
(<https://www.oig.dol.gov/hotline.htm>)
 - ~~1. a written Incident Report (Attachment I) that contains sufficient information to provide a clear, concise report of each incident. Reports must include a statement of all facts, known at the time, as well as any known or estimated loss of WIOA funds resulting from the incident.~~
2. ~~Submit~~ Send-Email a copy of the Incident Report, including screen shots or photos of the three OIG Hotline Portal screens, to the following:
 1. OCWDB Program Manager,
 2. ~~ETA at ETAINcidentReporting@dol.gov and EDD Compliance Review Office at PACBCROIncidentReports@edd.ca.gov,~~

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3. and The County of Orange Fraud Hotline at 1-714-834-3608<https://ocgov.com/how-do-i/report/fraud-waste-abuse>.

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Upon receipt of a Service Provider Incident Report, OCWDB will also file a report with the County of Orange Fraud Hotline.

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If internet access is not available, incidents can be reported through the following hotlines:

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- 1. OIG Toll-free hotline: —800-347-3756
- 2. OIG Non-toll-free hotline: —1-202-693-6999
- 3. County of Orange Fraud Hotline: —714-834-3608

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*Reference TEGL 15-23 for detailed instructions on reporting to the OIG and ETA.

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Action will not be taken against any complainant for disclosing information concerning criminal or improper activities or making a valid complaint to proper authorities. Complainants may remain anonymous. If a complainant considers that their position will be compromised by reporting information through an incident report, the complainant may submit the report directly to the OIG.

Incident Referrals

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When the OIG receives an incident report from any source, the OIG will determine whether the allegations have merit, and when appropriate, conduct or arrange for an investigation and/or audit.

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In instances where the OIG determines that the incident report does not have investigative or audit merit, the incident report will be referred to the ETA for resolution. The ETA will either forward the incident report to the EDD Compliance Review Office (CRO) to research and report back, or the ETA will work with the CRO to analyze and report on the incident.

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In instances where an incident report is remanded to the CRO, it will be prioritized and the CRO will request a fact-finding and resolutions report from the appropriate level of oversight, depending on the nature of the allegations. The CRO may require the County to submit a fact-finding and local resolution report, or the fact-finding mission may be conducted by the CRO. The fact-finding may, in certain circumstances, rise to the level of a special monitoring review, an investigation, or an audit by the appropriate state entities or by independent third-party auditors, as determined by the CRO.

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The reporting entity may be contacted by OCWDB, CRO, or OIG to take appropriate actions to recover misspent funds or to contain its financial liability.

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- 2.
- 3. Allegations considered to be of an emergency nature may be reported by telephone to the EDD Compliance Resolution Unit Supervisor at 1-916-654-8354 and followed immediately thereafter by the written Incident Report.
- 4. EDD CRO may need to contact the reporting entity for clarification or additional details.
- 5. Service Providers may also report allegations directly to the US Department of Labor's (DOL) Office of Inspector General (OIG) or by calling the OIG Hotline at 1-800-347-3756, if deemed appropriate.
- 6. Any facts subsequently discovered by the Service Provider must be forwarded in a supplemental Incident Report (using Attachment I).

Record Retention Requirements

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7. Documentation related to the incident report must be maintained in the Service Provider's files for a period of three years from the date of submission of the final expenditure report of the funding year.

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~~8.1. The reporting entity may be contacted by OCWDB, CRO, or OIG to take appropriate actions to recover misspent funds or to contain its financial liability.~~

OCWDB will report the outcome of any criminal, civil, or administrative proceedings according to 41 U.S. Code 2313 to the Federal Awardee Performance and Integrity Information System (FAPIIS).

If a Service Provider suspects fraud, waste, or abuse by a staff person, contractor, or program participant and immediate action is necessary to prevent further financial loss –or enable recovery of funds or property, the Service Provider has the responsibility to take any action it deems appropriate, including contacting the local law enforcement agency. Any immediate action taken or planned by the reporting entity must be included on the associated Incident Report.

~~Reporting entity may remain anonymous. If a reporting entity considers that their position will be compromised by reporting information through an Incident Report, the complainant may submit the report directly to the OIG. The OIG Hotline should not be used for resolving employee grievances, Equal Employment Opportunity complaints, labor disputes, or other personnel concerns.~~

ACTION

Bring this policy to the attention of all staff and relevant parties.

INQUIRIES

If you have any questions regarding this policy, ~~email please contact your Contract Administrator at 714-480-6500-info@ocworkforcesolutions.com~~

ATTACHMENTS

A Attachment I: Incident Report



DYLAN WRIGHT
DIRECTOR
OC COMMUNITY RESOURCES

CYMANTHA ATKINSON
ASSISTANT DIRECTOR
OC COMMUNITY RESOURCES

JOANNE VEEDOR
DIRECTOR
ADMINISTRATIVE SERVICES

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DEVELOPMENT

RENEE RAMIREZ
DIRECTOR
OC COMMUNITY SERVICES

PAM PASSOW
DIRECTOR
OC PARKS

JULIE QUILLMAN
COUNTY LIBRARIAN
OC PUBLIC LIBRARIES

OC Community Resources

October 30, 2024

To: WIOA and Other Subrecipients of the Orange County Workforce Development Board

From: Nancy Cook
Director of Workforce and Economic Development

Subject: Incident Reporting of Waste, Fraud and Abuse Policy Information Notice No. 24-OCWDB-11
Supersedes Information Notice No. 21-OCWDB-17 and No.13-OCWDA-01

PURPOSE

This policy provides guidance and establishes the procedures for reporting allegations of criminal fraud, program abuse, or criminal conduct involving grantees or other entities and Service Providers receiving federal funds through the Employment Development Department (EDD).

EFFECTIVE DATE

This policy is effective on the date of the issuance.

REFERENCES

- Title 2 Code of Federal Regulations (CFR) Part 200: Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) Section 200.113
- Title 20 CFR Section 683.620
- DOL Training and Employment Guidance Letter (TEGL) 15-23 *Employment and Training Administration (ETA) Grant Recipient Responsibilities for Reporting Instances of Suspected Fraud, Program Abuse and Criminal Conduct* (June 11, 2024)
- EDD Workforce Services Directive 24-03, *Incident Reporting* (September 17, 2024)

BACKGROUND

Information and complaints involving criminal fraud, waste, abuse, or other criminal activity must be reported immediately to the Department of Labor’s (DOL) Office of Inspector General (OIG) Hotline Portal and simultaneously reported to the Employment and Training Administration (ETA). The Inspector General Act of 1978, as amended, authorizes the OIG to conduct audits and investigations related to alleged fraud, waste, abuse, misconduct, or other wrongdoing concerning such programs and operations.



WORKFORCE & ECONOMIC
DEVELOPMENT DIVISION
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SANTA ANA, CA 92705
PHONE: 866.500.6587
FAX: 714.834-7132

When an individual has knowledge of or suspicion of a violation of WIOA or its regulations, the individual must take prompt and appropriate action.

DEFINITIONS

Complaint – Allegations of criminal activity and serious misconduct incidents and allegations of fraud, waste, and abuse concerning federally-funded grants, contracts, programs and operations, and dangers to the public health and safety.

Emergency – A situation involving imminent health or safety concerns, or the imminent loss of funds exceeding an amount much larger than \$50,000 (e.g., \$500,000).

Employee/Participant Misconduct – Actions occurring during or outside work hours that reflect negatively on Orange County Workforce Development Board (OCWDB) or Employment Development Department or its mission including, but not limited to: conflict of interest or the appearance of conflict of interest involving outside employment, business and professional activities; the receipt or giving of gifts, fees, entertainment, and favors; misuse of federal property; and, misuse of official information and such other activities as might adversely affect the confidence of the public in the integrity of the government (29 CFR Part 0 and 5 CFR Parts 2635 and 5201) as well as serious violations of federal and state laws.

Fraud, Misfeasance, Nonfeasance or Malfeasance – Any alleged deliberate action or inaction which may be in violation of federal statutes and regulations. This category includes, but is not limited to, indications of bribery, forgery, extortion, embezzlement, theft of participant checks, kickbacks from participants or contractors, intentional payments to a contractor without the expectation of receiving services, payments to ghost (fake) enrollees, misuse of appropriated funds, and misrepresenting information in official reports.

Gross Mismanagement – Actions or situations arising out of management ineptitude or oversight and leading to a major violation of statutory (such as WIOA or W-P) processes, regulations, or contract/grant provisions. Such actions or situations have the potential to severely hamper accomplishment of program goals, waste government resources, and jeopardize future support for a particular program or project. This category includes, but is not limited to, unauditible records, unsupported costs, highly inaccurate fiscal reports or program reports, payroll discrepancies, payroll deductions not paid to the Internal Revenue Service (IRS), and lack of good internal control procedures.

Incident Referrals – The OIG refers incidents and allegations concerning ETA programs to the ETA in instances where the OIG determines that the incident report does not have investigative or audit merit.

Misapplication of Funds – Any alleged deliberate use of funds, assets or property not authorized or provided for by legislation or regulations, grants, or contracts. This category includes, but is not limited to, nepotism, political patronage, use of participants for political activity, ineligible enrollees, conflict of interest, failure to report income from federal funds, violation of contract/grant procedures, and the use of federal funds for other than specified purposes. An incident report should be filed when there appears to be an intent to misapply funds rather than merely for a case of minor mismanagement. It should be noted that there are

some exceptions related to nepotism for the Indian and Native American programs, as described in 20 CFR Section 684.630(d).

Subaward – An award provided by pass-through entity to a subrecipient for the subrecipient to carry out part of a federal award received by the pass-through entity, It does not include payments to a contractor or payments to an individual that is a beneficiary of a federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.

Subrecipient – A non-federal entity that receives a subaward from a pass-through entity to carry out part of a federal award; but does not include an individual that is a beneficiary of such program. A subrecipient may also be a recipient of other federal awards directly from a federal awarding agency.

POLICY AND PROCEDURES

All Service Providers must promptly report all allegations of WIOA-related fraud, program abuse, or criminal activity to OCWDB, DOL's OIG, and ETA. Service Providers have a responsibility to be alert for instances of fraud, abuse, and criminal activity committed by staff, contractors, or program participants and to report all instances. Each Service Provider is to designate a staff member who will be responsible for reporting allegations. Service Provider must post instructions for staff and the general public on how to report fraud, waste or abuse. These instructions shall include to the County of Orange Fraud Hotline.

Reporting

A Service Provider must report an alleged incident within **one working day** of detection by completing the following steps:

1. Complete the relevant fields on the OIG Hotline Portal* (<https://www.oig.dol.gov/hotline.htm>)
2. Email a copy of the Incident Report, including screen shots or photos of the three OIG Hotline Portal screens, to the following:
 1. OCWDB Program Manager,
 2. ETA at ETAIncidentReporting@dol.gov, and
 3. The County of Orange Fraud Hotline at <https://ocgov.com/how-do-i/report/fraud-waste-abuse>.

Upon receipt of a Service Provider Incident Report, OCWDB will also file a report with the County of Orange Fraud Hotline.

If internet access is not available, incidents can be reported through the following hotlines:

1. OIG Toll-free hotline: 800-347-3756
2. OIG Non-toll-free hotline: 1-202-693-6999
3. County of Orange Fraud Hotline: 714-834-3608

*Reference [TEGL 15-23](#) for detailed instructions on reporting to the OIG and ETA.

Action will not be taken against any complainant for disclosing information concerning criminal or improper activities or making a valid complaint to proper authorities. Complainants may remain anonymous. If a complainant considers that their position will be compromised by reporting information through an incident report, the complainant may submit the report directly to the OIG.

Incident Referrals

When the OIG receives an incident report from any source, the OIG will determine whether the allegations have merit, and when appropriate, conduct or arrange for an investigation and/or audit.

In instances where the OIG determines that the incident report does not have investigative or audit merit, the incident report will be referred to the ETA for resolution. The ETA will either forward the incident report to the EDD Compliance Review Office (CRO) to research and report back, or the ETA will work with the CRO to analyze and report on the incident.

If an incident report is remanded to the CRO, it will be prioritized and the CRO will request a fact-finding and resolutions report from the appropriate level of oversight, depending on the nature of the allegations. The CRO may require the County to submit a fact-finding and local resolution report, or the fact-finding mission may be conducted by the CRO. The fact-finding may, in certain circumstances, rise to the level of a special monitoring review, an investigation, or an audit by the appropriate state entities or by independent third-party auditors, as determined by the CRO.

The reporting entity may be contacted by OCWDB, CRO, or OIG to take appropriate actions to recover misspent funds or to contain its financial liability.

Record Retention Requirements

Documentation related to the incident report must be maintained in the Service Provider's files for a period of three years from the date of submission of the final expenditure report of the funding year.

OCWDB will report the outcome of any criminal, civil, or administrative proceedings according to 41 U.S. Code 2313 to the Federal Awardee Performance and Integrity Information System (FAPIIS).

If a Service Provider suspects fraud, waste, or abuse by a staff person, contractor, or program participant and immediate action is necessary to prevent further financial loss or enable recovery of funds or property, the Service Provider has the responsibility to take any action it deems appropriate, including contacting the local law enforcement agency. Any immediate action taken or planned by the reporting entity must be included on the associated Incident Report.

ACTION

Bring this policy to the attention of all staff and relevant parties.

INQUIRIES

If you have any questions regarding this policy, email info@ocworkforcesolutions.com

ATTACHMENTS

Attachment I: Incident Report

Priority of Service for Veterans and Eligible Spouses Policy

Clean Vision

Information Notice No. 24-OCWDB-12



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PAM PASSOW
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JULIE QUILLMAN
COUNTY LIBRARIAN
OC PUBLIC LIBRARIES

OC Community Resources

Date: October 30, 2024
To: All WIOA Subrecipients of the Orange County
Workforce Development Board
From: Nancy Cook
Director of Workforce and Economic Development
Subject: Priority of Service for Veterans and Eligible Spouses
Information Notice No. 24-OCWDB-12

PURPOSE

This policy provides guidance and establishes the procedures regarding the priority of service requirements for veterans and their eligible spouses for U.S. Department of Labor (DOL) funded programs and services. The policy applies to all recipients and subrecipients of Workforce Innovation and Opportunities Act (WIOA) Title I and Title III funding.

EFFECTIVE DATE

This policy is effective on the date of issuance.

REFERENCES

- WIOA (Public Law 113-128) Sections 3(5), 3(36), and 3(50), and 134
- Veterans Benefits, Health Care, and Information Technology Act of 2006 (Public Law 109-461)
- Jobs for Veterans Act (JVA) of 2002 (Public Law 107-288) • Title 38 United States Code (U.S.C.) Sections 101(2), 4213, and 4215(a), and Chapters 11, 13, 15, 30-31, 33, and 35-36.
- Title 20 Code of Federal Regulations (CFR) Part 1010: "Priority of Service for Covered Persons" • Title 20 CFR Sections 680.600, 680.650, and 683.230
- Training and Employment Guidance Letter (TEGL) 19-16, Subject: Guidance on Services provided through the Adult and Dislocated Worker Programs under the WIOA and the Wagner-Peyser Act Employment Services, as amended by Title III of WIOA, and for implementation of the WIOA Final Rules (March 1, 2017)
- TEGL 26-13, Subject: Impact of the U.S. Supreme Court's Decision in United States v. Windsor on Eligibility and Services Provided Under Workforce Grants Administered by the Employment and Training Administration (June, 18, 2014)
- TEGL 10-09, Subject: Implementing Priority of Service for Veterans and Eligible Spouses in all Qualified Job Training Programs Funded in whole or part by DOL (November 10, 2009)
- Workforce Services Directive WSD15-14 (PDF), Subject: WIOA Adult Program Priority of Service (January 22, 2016)



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- Workforce Services Directive WSD19-04 (PDF), Subject: WIOA Adult Program Priority of Service (September 11, 2019)

BACKGROUND

On November 7, 2002, President Bush signed the Jobs for Veterans Act (JVA) into law to revise and improve employment, training, and job placement services furnished to veterans. Section 2(a) of the Act mandates priority of service for veterans and eligible spouses “who otherwise meet the eligibility requirements for participation” in DOL programs.

The JVA, and the priority of service it requires, acknowledges the sacrifices of the men and women who have served in the U.S. Armed Forces. Priority of service honors veterans and eligible spouses as our “heroes at home” and provides clear entry points into high-growth, high-wage civilian jobs, and easily accessible post-secondary education and training to support their advancement along career pathways. Veterans and eligible spouses possess unique attributes and contribute greatly in the workplace. They are an important source of highly skilled and experienced talent and play an important role in regional workforce development strategies.

DEFINITIONS

Covered Person – a veteran or eligible spouse.

Eligible Spouse – the spouse (including the same-sex spouse) of any of the following:

- a. Any veteran who died of a service-connected disability.
- b. Any member of the Armed Forces serving on active duty who, at the time of application for the priority, is listed in one or more of the following categories and has been so listed for a total of more than 90 days:
 - i. Missing in action.
 - ii. Captured in the line of duty by a hostile force.
 - iii. Forcibly detained or interned in the line of duty by a foreign government or power.
- c. Any veteran who has a total disability resulting from a service-connected disability, as evaluated by the U.S. Department of Veterans Affairs (VA).
- d. Any veteran who died while a disability, as indicated in category c. of this definition, was in existence.

A spouse whose eligibility is derived from a living veteran or service member (i.e., categories b. or c. above) would lose his or her eligibility if the veteran or service member were to lose the status that is the basis for the eligibility (e.g., if a veteran with a total service-connected disability were to receive a revised disability rating at a lower level), or upon divorce from the veteran or service member.

Note: A surviving spouse who is a widow or widower AND remarries on or after December 16, 2003, AND on or after attaining age 57, is entitled to continue to receive Dependency and Indemnity Compensation.

Non-covered Person – any individual who neither meets the definition of veteran nor the definition of eligible spouse.

Point of Entry – the point at which a veteran or eligible spouse expresses an interest in receiving employment, training, and placement services. It may be in-person or online, and can include physical locations such as reception areas, resource areas, and self-

service kiosks in an American Job Center of California (AJCC), as well as websites such as CalJOBS, and other virtual service delivery resources.

Priority of Service – with respect to any qualified job training program, a covered person shall be given priority over a non-covered person for the receipt of employment, training, and placement services provided under that program, notwithstanding any other provision of the law. Such priority includes giving access to such services to a covered person before a noncovered person or, if resources are limited, giving access to such services to a covered person instead on a non-covered person.

Program Operator – a recipient or subrecipient of DOL funds for a qualified job training program.

Qualified Job Training Program – any program or service for workforce preparation, development, or delivery that is directly funded, in whole or in part by the DOL.

Recipient – an entity that is awarded federal financial assistance, in whole or in part, directly from the DOL or through a subaward for any qualified job training program.

Subrecipient – an entity that is awarded federal financial assistance through a subaward funded by the DOL for any qualified job training program.

Veteran – a person who served at least one day in the active military, naval, or air service, and who was discharged or released under conditions other than dishonorable. Active service includes full-time duty in the National Guard or a Reserve component, other than full-time duty for training purposes. Active service does not include full-time active duty performed by National Guard personnel who are mobilized by state rather than federal authorities.

POLICY AND PROCEDURES

Priority of Service

Program operators are required to provide priority of service to veterans and eligible spouses for all WIOA and Wagner-Peyser funded activities, including technology–assisted activities. Priority of service means that veterans and eligible spouses are entitled to take precedence over non-covered persons in obtaining employment, training, and placement services. More specifically, a veteran or an eligible spouse either receives access to a service earlier in time than a non-covered person or, if the resource is limited, the veteran or eligible spouse receives access to the service instead of or before the non-covered person.

In implementing priority of service, program operators must ensure veterans and eligible spouses receive basic career services and individualized career services before other noncovered individuals. Additionally, they must ensure veterans and eligible spouses receive first priority on waiting lists for training slots and are enrolled in training prior to non-covered persons. However, once a non-covered participant is enrolled in a workshop or training class, priority of service is not intended to allow a veteran or eligible spouse to bump the noncovered participant from that class or service.

Program operators must ensure that priority of service is applied by all subrecipients of DOL funds. Pertinent language should be included in contracts, subgrants, solicitations for proposals, memorandums of understanding, and other service provision agreements.

Applying Priority of Service

The application of priority of service varies depending on the eligibility requirements of the particular program. There are four basic categories of DOL-funded programs: universal access programs, programs that require participants to meet specified eligibility criteria, programs with statutory priorities, and programs with discretionary priorities. The following describes how priority of service applies to these basic types of programs.

Universal Access Programs – For workforce programs that operate or deliver services to the public as a whole without targeting specific groups (e.g., WIOA basic career services), veterans and eligible spouses receive priority of service over all other program participants.

Programs with Eligibility Criteria – Eligibility criteria identify basic conditions that each participant in a specific program is required to meet. For example, for the WIOA Adult, Dislocated Worker, and Youth programs, every participant is required to meet program eligibility requirements (e.g., age, selective service registration, etc.). A veteran or eligible spouse must first meet all of the eligibility criteria in order to be considered eligible for participation in the program. Once determined eligible for participation, the veteran or eligible spouse receives priority for participation in the program and receipt of services.

Programs with Statutory Priorities - In addition to the eligibility criteria that all participants are required to meet, some programs have priorities that target certain populations and establish a rank order for enrolling or serving participants (e.g., the WIOA priority for Adult funds to serve recipients of public assistance, other low-income individuals, and individuals who are basic skills deficient). While veterans' priority is required under federal law and cannot be waived, it is not intended to displace existing eligibility requirements and statutory priorities. Therefore, in these instances, veterans and eligible spouses must first meet both the program's eligibility and statutory priority criteria to receive priority for participation in the program and receipt of services. Program operators must determine the status of each individual veteran or eligible spouse and apply priority of service in the following order:

1. Veterans and eligible spouses who meet the program's statutory priority requirement (e.g., veterans and eligible spouses who are also recipients of public assistance, other low-income individuals, or individuals who are basic skills deficient).
2. Non-covered persons who meet the program's statutory priority requirement (e.g., non-covered persons who are recipients of public assistance, other low-income individuals, or individuals who are basic skills deficient).
3. Veterans and eligible spouses who do not meet the program's statutory priority requirement.
4. Priority populations established by the Governor and/or Local Workforce Development Board.
5. Non-covered persons outside the program's statutory priority requirement.

Programs with Discretionary Priorities – Programs with discretionary priorities may make an effort to provide a certain level of service to a particular group. However, the law does not mandate that the target group be served before other eligible individuals. With respect to priority of service, the only feature that distinguishes discretionary targeting programs from universal access programs is the additional application of the discretionary targeting criterion to non-covered persons. Therefore, program operators must apply priority of service in the order below:

1. Veterans and eligible spouses.
2. Non-covered persons within the discretionary targeting group.
3. Non-covered persons outside the discretionary targeting group.

Income Eligibility Requirements – When determining eligibility for programs that have a statutory requirement to serve low-income individuals, many types of military service-related income are exempt. Specifically, the following pay, financial allowances, and financial benefits must be disregarded for veterans, transitioning service members, or any other individuals for whom these amounts would normally be applied in making an eligibility determination.

- Military pay or allowances paid while on active duty.
- Military pay or allowances paid by the VA for vocational rehabilitation, disability payments, or related VA-funded programs (including the VA work study allowance), and including any financial benefits received under the following chapters of Title 38 U.S.C.:
 - Chapter 11 - Compensation for service-connected disability or death.
 - Chapter 13 - Dependency and indemnity compensation for service-connected deaths.
 - Chapter 30 - All-volunteer force educational assistance program.
 - Chapter 31 - Training and rehabilitation for veterans with service-connected disabilities.
 - Chapter 33 - Post-9/11 educational assistance.
 - Chapter 35 - Survivors' and dependents' educational assistance.
 - Chapter 36 - Administration of educational benefits.
- Any benefits received under Title 10 U.S.C. Chapter 106 - Educational assistance for members of the selected reserve.

In contrast, the following types of military-related income are included in low-income calculations:

- Pension payments authorized by Title 10 U.S.C., such as those received by military retirees, whether or not their retirement was based on disability.
- Pension benefits paid under Title 38 U.S.C. Chapter 15 – Pensions for low-income, wartime veterans who are disabled for reasons not connected or related to their military service.

It is also important to note that VA benefits for education and training services do not constitute “other grant assistance” under WIOA’s eligibility requirements. Therefore, veterans or eligible spouses who are eligible for the GI Bill or other forms of VA-funded education or training are not required to coordinate their entitlement to those benefits with their eligibility for WIOA-funded training, as stipulated under 20 CFR Section 680.230. Specifically, program operators may not require veterans or eligible spouses to exhaust their entitlement to VA funded training prior to enrolling them in WIOA-funded training.

Identifying Veterans and Eligible Spouses

Program operators must put processes into place to ensure that veteran and eligible spouses are identified at the point of entry and given an opportunity to take full advantage of priority of service. The point of entry includes physical locations such as AJCCs, as well as websites such as CalJOBS, and other virtual service delivery resources. These processes should ensure that veterans and eligible spouses are aware of their entitlement to priority of service, the full array of employment, training, and placement services available under priority of service, any applicable eligibility requirements for those programs and services, and in cases of online points of entry, how to access assistance via the nearest American Job Center of California.

Documenting Eligibility for Priority of Service

It is not necessary for staff to verify the status of a veteran or eligible spouse until the individual undergoes eligibility determination and is enrolled in a WIOA individualized career service or training service. Until the point at which the participant receives an individualized career service or training service, an individual who states they meet the veterans' priority eligibility criteria must be accorded veterans' priority of service on the basis of self-attestation. In those instances in which eligibility determination and enrollment in a WIOA individualized career service occur at the point of entry, a covered person must be enrolled, provided immediate priority, and permitted to follow-up subsequently with any required verification of his or her status as a covered person.

Policy and Procedures

All WIOA-funded programs are required to implement the Veteran's priority provisions of the Jobs for Veterans Act. Veterans and covered spouses, who are determined eligible for WIOA services, are entitled to priority of service under WIOA Title I Adult, Dislocated Worker, and Youth-funded programs.

The term "veteran's priority of service" means that a covered person shall be given priority over nonveterans, except for the priority of service established by law for the WIOA Adult program. The Veteran's priority will apply in the event there are limited funds, and the applicant fits the eligibility requirements for the WIOA funded programs, and one is a Veteran or Covered Spouse, and one is not. The Jobs for Veterans Act requires that Veterans and Covered Spouses must first meet any of the WIOA program's existing WIOA program eligibility requirements in order to obtain priority of service under the Veterans priority.

Orange County Workforce Development Board (OCWDB) Subrecipients shall provide information to "covered persons" on services available under the DOL job training programs and shall ensure that individuals are informed of their right to priority as Veterans or Covered Spouses for employment and training services. This information from Subrecipients must be provided to "covered persons" either verbally or in writing at each point in the program:

1. *at the point of entry; and*
2. *at orientation; and*
3. *at eligibility determination; and*
4. *at assessment; and*
5. *during program activities.*

A covered person under the Jobs for Veterans Act is one of the following:

1. Veterans – A Veteran who is an individual who served at least one day in the active military, naval, or air service, and who was discharged or released from such service under conditions other than dishonorable: or
2. The Spouse of a Veteran – The Spouse of:
 - Any Veteran who died of a service-connected disability.
 - A member serving on active military duty who is listed as missing in action, captured in the line of duty by a hostile force, or forcibly detained or interned in the line of duty by a foreign government or power; or
 - Any Veteran with a total service-connected disability rating or one who died while being evaluated for it.

OCWDB Subrecipients must have processes in place at the "point of entry" to the Employment Connection System to identify veterans and eligible spouses who are entitled to priority of services. Veterans and covered spouses take precedence over a non-covered person in obtaining all employment and training services. Depending on the type of service,

this may mean veterans and eligible spouses receive services earlier in time, or instead of noncovered persons. OCWDB Subrecipients shall collect and enter the required veteran and covered spouse's data elements into the CalJOBS system when registering veterans and covered spouses into the WIOA Title I Adult and DW Program. Proof of veteran and covered spouse status must be documented and kept in the applicant's CalJOBS case file.

ACTION

Bring this policy to the attention of all staff and relevant parties.

INQUIRIES

If you have any questions regarding this policy, please email info@ocworkforcesolutions.com.

WIOA Documentation Requirements Policy

Redline and Clean Version

Information Notice No. 24-OCWDB-13

Supersedes Information No. 20-OCWDB-09, 10-OCWDB-04



OC Community Resources

Date: ~~April 8, 2020~~ ~~October 30~~ ~~August XX, 2024~~

DYLAN WRIGHT
DIRECTOR
OC COMMUNITY RESOURCES

CYMANTHA ATKINSON
ASSISTANT DIRECTOR
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JOANNE VEEDOR
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PAM PASSOW
DIRECTOR
OC PARKS

JULIE QUILLMAN
COUNTY LIBRARIAN
OC PUBLIC LIBRARIES

To: ~~All~~-WIOA Subrecipients of the Orange County
Workforce Development ~~Area~~Board

From: ~~Garma Lacy~~Nancy Cook
Director of Workforce and Economic Development

Subject: WIOA Documentation Requirements Policy
Information Notice ~~No. 20-OCWDB-09~~24-OCWDB-XX
Supersedes Policy and Procedure No. ~~10-OCWDA-04~~20-
OCWDB-09,
10-OCWDB-04

PURPOSE

~~The purpose of t~~This policy ~~is to~~ provides guidance on communicate the acceptable documentation requirements necessary to for validating data elements and determining eligibility. It ensures that the data entered into CalJOBS is reliable, providing an accurate report on performance for in the Workforce Innovation and Opportunity Act (WIOA) ~~a~~Adult, ~~d~~Dislocated ~~w~~Worker, and ~~y~~Youth programs.

EFFECTIVE DATE

~~Immediately~~This policy is effective on the date of issuance.

REFERENCES

- ~~Workforce Innovation and Opportunity Act, Pub. L. 113-128.~~ WIOA (Public Law 113-128)
- ~~29 U.S.C. 3101 et seq.~~
- ~~USDOL, Training and Employment Guidance Letter (TEGL) No. 39-41, Guidance on Handling and Protection of Personally Identifiable Information (PII), (June 28, 2012).~~ 09-22: Workforce Innovation and Opportunity Act Title I Youth Formula Program Guidance
- ~~Training and Employment Guidance Letter (TEGL) TEGL 7-18: Data Validation Attachment 1 Source Documentation for WIOA Core Programs~~
- ~~TEGL 23-19: Change 2, Guidance for Validating Required Performance Data Submitted by Grant Recipients of U.S.~~



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~~State of California WSD 22-15 WIOA Data Validation Source Documentation~~

• ~~WSD 24-04 WIOA Title I Eligibility Technical Assistance Guide~~

• ~~State of California WSD19-03 Performance Guidance~~ WSD 23-03: Performance Guidance

• ~~State of California WSD_18-03: Pathways to Services, Referral, and Enrollment~~

• ~~State of California WSD_17-07: Youth Program Requirements~~

• ~~State of California WSD_16-18: Selective Service Requirements~~

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BACKGROUND

~~On December 19, 2018 the United States Department of Labor (USDOL) released TEGL 7-18 which outlined the requirements on the performance accountability system requirements set forth in section 116 of WIOA. The guidance provided information about the guidelines the state and local areas must use for ensuring data submitted are valid and reliable. Service Providers are responsible for collecting and retaining adequate documentation is retained to establish verify WIOA eligibility, track services, and ensure accurate performance is collected and retained to ensure accurate reporting to the Department of Labor (DOL).~~

~~All Subrecipients are responsible for ensuring that adequate documentation is retained to minimize the risk of disallowed costs. The Local Board supports the development of a balanced documentation and verification policy that is not excessively intrusive and burdensome and is, at the same time, a good faith and reasonable effort to establish WIA eligibility.~~

DEFINITIONS

~~Personal information and personally identifiable information (PII) – Any information describing anything about a person, indicating actions done by or to a person, or indicating a person's personal characteristics, which can be retrieved from a system by a name, identifying number, symbol, or other identifier assigned to a person. This information can be used to distinguish or trace an individual's identity, either alone or when combined with other personal or identifying information that is linked or linkable to a specific individual.~~

~~Registration – The process of collecting information to support a determination of eligibility for the WIOA adult, dislocated worker, and youth Adult, Dislocated Worker, and Youth programs. This information may be collected through methods, including electronic data transfer, personal interview, or an individual's application.~~

~~Source Document – Physical or electronic document(s) or record(s) that supports the data captured in CalJOBS and reported to DOL.~~

~~Data Element – A standardized unit of information with a unique meaning that is captured in CalJOBS and reported to the DOL.~~

Data Element Validation (DEV) – The process of validating source documentation against data reported in CalJOBS, and ultimately, to the DOL.

Data Validation – Data validation is the series of internal controls or quality assurance techniques established to verify the accuracy, validity, and reliability of data.

Workforce service providers (WSPs) – Local areas, career services providers, youth program providers, and CCMEP lead agencies that carry out a workforce development activity or program.

POLICIES AND PROCEDURES

This policy provides guidance and outlines procedures for participant documentation requirements under the WIOA Adult, Dislocated Worker, and Youth programs. It ensures compliance with the collection, verification, and reporting of source documents. Service providers are required to determine eligibility by reviewing source documents and ensuring the appropriate source documentation is collected for all relevant data elements to be entered into CalJOBS, as stated within this policy. The guidelines in this policy are intended to provide information to subrecipient to ensure compliance with the data collection and reporting requirements.

Workforce service providers (WSPs) Local areas, career services providers, youth program providers, and Youth lead agencies Service Providers must verify or confirm eligibility requirements through an examination of documents or by using one or more of the additional methods of source documentation described below.

Documentation requirements to support WIOA adult and dislocated worker eligibility are tied to the level of services provided to the participant. For adults and dislocated workers receiving only basic career services which do not trigger participation in the WIOA program, the local area may accept information provided by these reportable individuals at face value to complete the basic intake process without requiring source documentation.

Documentation requirements increase for participants who receive basic career services triggering participation, individualized career services, or training services. WIOA youth program eligibility documentation does not vary between types of services or program elements received.

Attachment I provides guidance for the specific types of source documents that may be used to verify participant eligibility at each level of service.

Allowable Data Source Documentation for Title I WIOA Programs

Each program that undergoes Data Element Validation (DEV) has specific data elements that must be verified against source documentation. The WIOA Title I – Source Documentation List (Attachment IV) contains a list of data elements, the allowable types of source documents for each data element, the data element entry location and prompt found in CalJOBS, if applicable. All WIOA Title I Adult, Dislocated Worker, and Youth programs may use the list to identify source documentation that is allowable to confirm validation. For additional guidance and definitions regarding the data elements, refer to WSD 22-15, Attachment 2.

The eligibility verification process and the list of acceptable documents to determine eligibility, are not the same as DEV. While DEV may verify the existence of acceptable documentation for certain eligibility criteria and vice versa, DEV does not verify participant eligibility. 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 validates that the data elements entered in CalJOBS are accurate.

Acceptable Documentation for Eligibility Determination

EFor eligibility documentation, there are multiple forms of allowable documents that must be collected and entered into entered in -CalJOBS for each enrolled program participant. In most instances, one of the source documents listed in the Adult, Dislocated Worker, and Youth programs' Allowable Eligibility Documentation (Attachment I, Attachment II and Attachment III), should be used to verify the eligibility of a participant. These forms attachments provide a detailed list of allowable source documents needed to verify eligibility under each section. Most sections eligibility criteria offer have multiple documentation options to ensure the eligibility process is forms of acceptable documents that can be collected to ensure the eligibility process is not too burdensome for applicants to complete.

General program eligibility for all WIOA-funded services under Title I programs includes criteria such as age, authorization to work in the United States and compliance with Selective Service System requirements when applicable, which must be verified and available for subsequent review.

WIOA Adult and Dislocated Worker eligibility requirements depend on the level of services provided to the participant. The documentation required increases as participants move from basic career services, which trigger participation, to individualized career services or training services. For participants receiving only basic career services, Service Providers may accept information provided during the intake process at face value, without requiring source documentation.

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For more information regarding eligibility requirements, refer to the Adult and Dislocated Worker Program Eligibility Policy.

WIOA Youth program eligibility documentation does not vary between types of services or program elements received. Youth's eligibility is determined at the time of enrollment. If an individual's situation changes while receiving services, the individual remains eligible until program exit. For example, an Out-of-School youth (OSY) who is 24 years of age (the cut off age for OSY) at the time of enrollment and subsequently turns 25 years of age, is still considered an OSY until exited from the program.

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For more information regarding eligibility requirements, refer to the WIOA Youth Program - Participant Eligibility Requirements Policy.

In addition to the general program eligibility requirements for all programs, when applicable, the following data elements must be verified and made available for review:

- Income Eligibility
- Veterans Status
- Dislocated Worker Eligibility
- Barriers

Additional Methods of Allowable Source Documentation

Below are additional types of Source Documentation Service Providers may use, if permissible, to verify eligibility or data element.

1. Telephone or Electronic Communication

In instances where telephone or electronic communication is acceptable and used, the case file must contain the name of the agency representative, the date of the conversation, and the result of verification.

Service Providers must use the WIOA Telephone Eligibility Verification Form (Attachment V), to document telephone communication. If a telephone communication is used to verify dislocation, the case file must contain the date and reason for termination, and a possible recall date, if applicable.

2. Self-Attestation

Self-Attestation occurs when a participant declares their status, for an eligibility or set of eligibility criteria, and then signs and dates a form acknowledging the status.

The key elements for self-attestation are:

- The participant identifying ~~his or her~~ their status for permitted eligibility criteria; and
- Signing and dating the form attesting to this self-identification (e.g., a signed WIOA Program Application, Self-Attestation Verification Form (Attachment VI)).

Note that self-attestation is not to be used as the primary method of gathering documentation to verify data elements. Self-attestation as a documentation source is only to be used when the preferred options of paper documentation or third-party corroboration are not available.

The self-attestation is not a blanket verification for all eligibility components as noted in the Allowable Eligibility Documentation Forms. Within the self-attestation, the individual must document which specific elements of eligibility ~~he or she is~~ they are attesting (e.g., authorization to work, proof of termination or layoff, etc.) and how ~~he or she~~ they meets the eligibility criteria.

Service Providers must be cognizant that not all eligibility source documentation may be verified with self-attestation. Therefore, self-attestation does not alleviate or replace the need to collect documentation of some eligibility elements from the individual.

3. Case Notes

Case notes refer to statements placed in CalJOBS by the case manager and identify, at a minimum, the following:

- A participant's status for a specific data element or eligibility criteria;
- The date on which the information was obtained; and
- The case manager who obtained the information.

If case notes are used as allowable source documentation, the case note(s) must provide a documented trail back to the source of information verified. All documents pertinent to participant activities should be scanned through with case notes and/or activities to support those entries.

4. Cross-Match

A cross-match requires the Service Provider staff to acquire detailed supporting evidence, for applicable data element(s), using another database (e.g., public assistance records). An indicator or presence of a social security number in a database alone is not sufficient evidence to document WIOA eligibility; additional details such as the date of the eligibility determination, date of participation, and services rendered should be obtained from the cross-match to confirm the accuracy and currency of the information. The WIOA Title I – Source Documentation List (Attachment IV) identifies the allowable databases to cross-match.

5. Electronic Records

Electronic records are participant records created, stored, or transferred in a form that can only be processed in a computer and maintained in CalJOBS. However, an indicator such as a checkmark or date on a computer screen is not considered acceptable source documentation.

Participation

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Adult and Dislocated Worker - An individual becomes a participant in the Adult or Dislocated Worker programs after completing the eligibility determination, satisfying all programmatic requirements, and receiving a staff-assisted basic career service, individualized career service, or training service. An individual who uses self-services, or is assisted with information-only activities, is not considered a participant and therefore does not need to meet eligibility requirements.

Youth - An individual becomes a youth participant in the Youth program after receiving an eligibility determination, completing an objective assessment, completing an individual service strategy, and receiving a service that meets one of the 14 WIOA Youth program elements.

Individuals who use self-service and/or receive information only services or activities are considered reportable individuals and must be documented.

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Exited Participants

An exit occurs when the participant has not received program services for 90 consecutive calendar days, and no additional future services are scheduled. The program exit date is applied retroactively after 90 days to the last service's actual end date. Follow-up services, self-services, information-only services or activities, and supportive services do not delay, postpone, or affect the date of exit.

The Allowable Source Documentation for WIOA Program Eligibility form (Attachment I) provides guidance for the specific types of source documents that may be used to verify participant eligibility at each level of service.

Electronic & Physical Files

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Service Providers are required to ensure that all participant eligibility documentation is scanned, uploaded, and verified in CalJOBS, while also securely retaining physical copies for a minimum of three years after the final closeout expenditure report for the funding period, or as requested. Both physical and electronic copies of these documents are mandatory until official notification is provided by OCWDB requiring Service Providers to transition to fully paperless practices. For guidance on collecting and storing supporting documents in CalJOBS, refer to the CalJOBS Document Imaging and Scanning Policy. Documents uploaded into the CalJOBS system will be used for verification, ongoing monitoring, and audit purposes in accordance with WIOA and EDD requirements.

To ensure compliance, documents must be readily available upon request for program, fiscal monitors, and auditors during scheduled or unscheduled monitoring reviews. Service Providers must implement internal controls to visually inspect all scanned documents for completeness, clarity, and legibility prior to uploading into CalJOBS. This includes ensuring that the document is properly aligned and free from errors.

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Original content of a scanned document must remain unaltered or unmodified once finalized. While scanning the original document is preferred, legible, verified documents provided by partners may also be sufficient for documentation purposes. Documents must be kept current throughout the participant’s program involvement, and any new or updated documents must be promptly uploaded into CalJOBS to ensure accurate tracking of eligibility and participation.

Service Providers are required to upload all verification documents into CalJOBS immediately upon availability, following established eligibility guidelines and timeframes. Regular compliance checks must be conducted to ensure that all participant information in CalJOBS is accurate, and that verification documents are uploaded for all fields requiring validation. Additionally, case notes must clearly state the intent and purpose of each document uploaded, providing a complete audit trail as required by WIOA and EDD TEGL Directives.

To maintain WIOA compliance, Service Providers must engage in regular internal monitoring of both physical and electronic files, ensuring data accuracy, completeness, and timeliness. This monitoring process will involve scheduled audits of file documentation and cross-referencing with CalJOBS entries to ensure that all required fields are accurately supported by appropriate source documentation. Any discrepancies or issues found during monitoring must be addressed promptly to maintain program integrity and avoid disallowed activities and/or costs.

~~ThroughIn addition to the use of document scanning, subrecipientsService Providers are no longer required to ensure that allmaintain a physical files of the participant’s eligibility documentationthat are scanned into the CALJOBS system are scanned, uploaded and verified saved in CalJOBS and physical copies are securely retained for a minimum of three years after submittal of the final closeout expenditure report for that funding period. Both physical and virtual copies of these documents are required until which time that official~~

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~~notification from OCWDB to Service Providers that Service Providers are required to transition to paperless practices. For more information regarding collecting and storing supporting documents in CalJOBS, refer to the CalJOBS Document Imaging and Scanning Policy. Additionally, documents scanned into the CALJOBS/CalJOBS system take the place of hard files will be used for verification, monitoring, and audit purposes.~~

~~Documents must be available upon request, to the program, fiscal monitors/monitors, and auditors for monitoring purposes. Such records shall only be maintained in the CalJOBS system unless a subrecipient chooses to maintain both a CalJOBS electronic file and a paper file. Subrecipients/Service Providers must ensure that all scanned documents are inspected visually to ensure they are complete, clear, and easily easy to read. Visual inspections for documents before properly uploading that are scanned into CalJOBS system must be complete, clear, and legible as well as properly aligned.~~

~~Original content of a scanned document must not be altered or modified once it has been finalized. While scanning the original document is preferred, scanning legible verified documents provided by partners may serve as sufficient documentation. Documents uploaded into the CalJOBS system must always be current and kept current through program participation. In addition, case notes must identify the intent and purpose of all documents that are uploaded into the CalJOBS system.~~

~~Subrecipients/Service Providers must upload verification documents within CalJOBS as soon as documentation is made available and in accordance with eligibility guidelines and timeframes. Subrecipients/Service Providers must ensure that participant information is accurately reported in CalJOBS and that documents are uploaded for all fields that require verification.~~

~~However, the documentation requirements remain unchanged. If WSPs use electronic files, the documents must be available to the program and fiscal monitors and auditors for monitoring purposes.~~

Attaching Documents to Case Notes and/or Activities

~~All documents pertinent to participant activities should be scanned through case notes and/or activities to support those entries. Subrecipient specific forms that aid in assessing the needs of the participant (e.g. supportive services determination, training eligibility determination, etc.) must be attached to the case notes of specific activities. Subrecipients must also attach documents to case notes and/or activities for documentation of services that provided under the appropriate activity (e.g. job referral verification, resume assistance, etc.)~~

Electronic Signatures

~~Document Imaging includes the addition of electronic signatures to any necessary documents or forms. Signatures may be captured within CalJOBS or using an electronic software such as pDoc Signer or DocuSign. Subrecipients/Service Providers are encouraged to use electronic signatures for participant convenience.~~

Additional methods of Source Documentation

~~For documentation of eligibility for WIOA adult, dislocated worker, and youth programs, there are multiple forms of acceptable source documentation. In most instances, one of the source documents listed in Attachment I, Allowable Source Documentation for WIOA Program Eligibility, should be used to verify the eligibility of a participant. Below are additional methods that WSPs/Service Providers may use if, per Attachment I of this policy letter, the method is permissible for the eligibility criteria or data element being verified.~~

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~~1. Telephone or Electronic Communication~~

~~In instances where telephone or electronic communication is acceptable and used, the case file must contain the name of the agency representative, the date of the conversation, and the result of the eligibility verification.~~

~~WSPs Service Providers must use Attachment II: WIOA Telephone Eligibility Verification, to document telephone communication. If a telephone communication is used to verify dislocation, the case file must contain the date and reason for termination, and a possible recall date if applicable.~~

~~2. Self-Attestation~~

~~Self-Attestation occurs when a participant states his or her status for an eligibility or set of eligibility criteria, and then signs and dates a form acknowledging this status. The key elements for self-attestation are:~~

- ~~• The participant identifying his or her status for permitted eligibility criteria; and~~
- ~~• Signing and dating the form attesting to this self-identification.~~

~~WSPs must use Attachment III: Self-Attestation Form.~~

~~Note that self-attestation is not to be used as the primary method of gathering documentation to verify data elements. Self-attestation as a documentation source is only to be used when the preferred options of paper documentation or third-party corroboration are not available.~~

~~Local areas may add the Self-Attestation form to a local area WIOA Adult and Dislocated Worker eligibility determination form if all the components of the form, including language, remain intact. The self-attestation is not blanket verification for all eligibility components as noted in Attachment I. Within this self-attestation, the individual must document which specific elements of eligibility he or she is attesting (e.g., authorization to work, proof of termination or layoff, etc.) and how he or she meets the eligibility criteria~~

~~WSPs Service Providers must be cognizant that not all eligibility source documentation may be verified with self-attestation. Therefore, self-attestation does not alleviate or replace the need to collect documentation of some eligibility elements from the individual.~~

~~3. Case Notes~~

~~Case notes refer to statements placed in CALJOBS by the case manager and identify, at a minimum, the following:~~

- ~~• A participant's status for a specific eligibility criterion or set of eligibility criteria;~~
- ~~• The date on which the information was obtained; and~~
- ~~The case manager who obtained the information.~~

~~4. Cross-Match~~

~~A cross-match requires the WSP Service Provider staff to acquire detailed supporting evidence for the eligibility criteria in another database (e.g., public assistance records). An indicator or presence of a social security number in a database alone is not sufficient evidence to document WIOA eligibility; additional details such as the date of the eligibility~~

determination, date of participation, and services rendered should be obtained from the cross-match to confirm the accuracy and currency of the information.

5. State Management Information System (MIS)

State MIS refers to specific, detailed information that is stored in CALJOBS and supports eligibility criteria. An indicator such as a checkmark or date on a computer screen is not acceptable source documentation.

Handling and Protecting Personally Identifiable Information (PII)

Identifying information collected about adult, dislocated worker, and youth workforce program participants is not considered a public record, should only be used for workforce program administrative purposes, and should not be disclosed to the general public or to unauthorized individuals. Identifying information includes, but is not limited to, names, home and email addresses, phone numbers, social security numbers, dates of birth, and other identifying information collected or maintained about individual job-seekers, those seeking education or training, and those seeking assistance in overcoming their barriers to employment.

Moreover, certain types of personally identifiable information (PII) about workforce participants are more sensitive and confidential than others, because the disclosure of such information could result in financial or other harm to the individual whose name or identity is linked to that information. Such information requires a higher level of security — including staff training — to prevent unauthorized access, use and disclosure. Examples of the types of PII that are more sensitive, and therefore subject to a higher level of security, include, but are not limited to, social security numbers (SSN), state and federal tax identification numbers, driver's license numbers, state identification numbers, credit and debit card numbers, bank and financial account numbers, student educational records (including transcripts, and information about current or prior enrollment, course progress, or graduation), medical history and information about an individual's current or prior physical or mental status, financial information, and information identifying the individual as an applicant for or recipient of unemployment compensation benefits, or food or cash assistance.

Any WSP staff who work directly with job-seekers and other workforce program participants, or who handle or process PII about workforce participants, must take steps to ensure that PII is processed in a manner that will protect the confidentiality of the records/documents, and that PII is not accessed, viewed, or used by either the general public, or unauthorized staff at OMJ Center partner organizations.

Federal law, OMB Guidance, and United States Department of Labor (USDOL) policies require that PII and other sensitive information be protected. To ensure that PII and sensitive information is handled appropriately, WSPs must:

1. Ensure PII is not transmitted to unauthorized users and all PII transmitted through e-mail or stored electronically (e.g., DVD or thumb drive) is encrypted.
2. Take necessary steps to ensure the privacy of all PII obtained from participants and/or other individuals and to protect such information from unauthorized disclosure.
3. Ensure that any PII used as part of the WIOA grant has been obtained in conformity with applicable Federal and state laws governing confidentiality of information. PII shall not be stored on personally owned equipment, at off-site locations (e.g., employee's home), and on personal e-mail accounts.

4. ~~Ensure that all PII obtained through the WIOA grant is stored in an area that is physically safe from access by unauthorized persons at all times.~~
5. ~~Store PII only on secure work servers and equipment that are approved by ODJFS or the local board. Storing PII on personally owned equipment, at off-site locations (e.g., employee's home), and on personal e-mail accounts is prohibited.~~
6. ~~Advise all local area and/or provider staff who have access to sensitive/confidential/proprietary/private data of the confidential nature of the information, the safeguards required to protect the information, and the civil and criminal sanctions for noncompliance with such safeguards.~~
7. ~~Implement policies and procedures regarding the handling of PII, including staff acknowledgement of their understanding of the confidential nature of the data and the safeguards with which they must comply in their handling of such data.~~

Outlined below are requirements to protect PII

1. ~~Before obtaining a participant's SSN, the WSP should have the participant sign a release acknowledging the use of social security numbers for eligibility determination and federal grant purposes only.~~
2. ~~WSPs should use unique identifiers for participant tracking instead of the SSN. If SSNs are to be used for tracking purposes, they must be stored or displayed in a way that is not attributable to an individual, such as using a truncated or masked SSN (e.g., last 4 digits only).~~
3. ~~WSPs using an electronic system in addition to CALJOBS for basic career services tracking or other registration processes must truncate or mask an individual's SSN in such systems.~~
4. ~~WSPs using paper applications containing SSNs must, at a minimum, enter the basic intake information and the SSN in CALJOBS the day the information is received and destroy the paper application if feasible. If all eligibility information is not placed in CALJOBS that day, staff must mask the SSN on the paper application and store in a secure manner.~~
5. ~~Documentation of SSNs (e.g., physical copy of social security card) shall not be obtained until such time WIOA eligibility is determined, the individual receives a WIOA adult, dislocated worker, or WIOA CCMEP youth program service which triggers participation in the program, and the individual becomes a participant.~~
6. ~~When an individual becomes a participant, the WSP must attempt to obtain and verify the SSN for performance reporting purposes but shall not deny access to the American Job Center's resource room or to WIOA program services if the individual does not disclose his or her SSN. If the individual refuses to provide an SSN, the local area will assign a temporary alternative identifying number. The individual will use this number for identification during subsequent visits to the One Step center or for program funded activity tracking.~~
7. ~~WSPs should keep SSNs electronically in CALJOBS minimizing the use of paper files. If paper files are used or if the participant's SSN is listed on other forms of source documentation listed in Attachment A, the WSP must ensure that the SSN on the paper document has been masked.~~
8. ~~WSPs must use appropriate methods for destroying sensitive PII in paper files and securely deleting sensitive electronic PII.~~

- ~~9. WSP staff at the One Stop center or other service delivery location shall not leave records containing PII open and unattended.~~
- ~~10. WSPs shall store documents containing PII in locked cabinets when not in use.~~
- ~~11. Local providers shall report within 24 hours any breach or suspected breach of PII by the area or its subrecipient to the Director of Workforce Development and follow any instructions provided.~~

ACTION

Bring this policy to the attention of all ~~affected~~ staff and ~~all~~ relevant parties.

INQUIRIES

If you have any questions regarding this policy, please ~~contact your Contract Administrator at 714-480-6500~~ [email info@ocworkforcesolutions.com](mailto:info@ocworkforcesolutions.com).

ATTACHMENTS

- ~~Attachment I: Allowable Source Eligibility Documentation for WIOA - Adult Program Eligibility~~
- ~~Attachment II: Allowable Eligibility Documentation - Dislocated Worker Program~~
- ~~Attachment III: Allowable Eligibility Documentation - Youth Program~~
- ~~Attachment IV: WIOA Title I - Source Documentation List~~
- ~~Attachment IV: WIOA Telephone Eligibility Verification Form~~
- ~~Attachment IV: Self-Attestation Verification Form~~
- ~~Attachment IV: Citizenship/Authorization to Work Verification Form~~



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COUNTY LIBRARIAN
OC PUBLIC LIBRARIES

OC Community Resources

Date: October 30, 2024
To: WIOA Subrecipients of the Orange County Workforce Development Board
From: Nancy Cook
Director of Workforce and Economic Development
Subject: WIOA Documentation Requirements Policy Information Notice 24-OCWDB-13
Supersedes Policy and Procedure No. 20-OCWDB-09, 10-OCWDB-04

PURPOSE

This policy provides guidance on acceptable documentation for validating data elements and determining eligibility. It ensures that the data entered into CalJOBS is reliable, providing an accurate report on performance for the Workforce Innovation and Opportunity Act (WIOA) Adult, Dislocated Worker, and Youth programs.

EFFECTIVE DATE

This policy is effective on the date of issuance.

REFERENCES

- WIOA (Public Law 113-128)
- Training and Employment Guidance Letter (TEGL) 09-22: Workforce Innovation and Opportunity Act Title I Youth Formula Program Guidance
- TEGL 7-18: Data Validation Attachment 1 Source Documentation for WIOA Core Programs
- TEGL 23-19: Change 2, Guidance for Validating Required Performance Data Submitted by Grant Recipients of U.S.
- WSD 22-15 WIOA Data Validation Source Documentation
- WSD 24-04 WIOA Title I Eligibility Technical Assistance Guide
- WSD 23-03: Performance Guidance
- WSD 18-03: Pathways to Services, Referral, and Enrollment
- WSD 17-07: Youth Program Requirements
- WSD 16-18: Selective Service Requirements

BACKGROUND

Service Providers are responsible for collecting and retaining adequate documentation to verify WIOA eligibility, track services, and ensure accurate performance reporting to the Department of Labor (DOL).



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DEFINITIONS

Registration – The process of collecting information to support a determination of eligibility for the WIOA Adult, Dislocated Worker, and Youth programs. This information may be collected through methods, including electronic data transfer, personal interview, or an individual's application.

Source Document – Physical or electronic document(s) or record(s) that supports the data captured in CalJOBS and reported to DOL.

Data Element – A standardized unit of information with a unique meaning that is captured in CalJOBS and reported to the DOL.

Data Element Validation (DEV) – The process of validating source documentation against data reported in CalJOBS, and ultimately, to the DOL.

Data Validation – Data validation is the series of internal controls or quality assurance techniques established to verify the accuracy, validity, and reliability of data.

POLICIES AND PROCEDURES

This policy provides guidance and outlines procedures for participant documentation requirements under the WIOA Adult, Dislocated Worker, and Youth programs. It ensures compliance with the collection, verification, and reporting of source documents. Service providers are required to determine eligibility by reviewing source documents and ensuring the appropriate source documentation is collected for all relevant data elements to be entered into CalJOBS, as stated within this policy.

Allowable Data Source Documentation for Title I WIOA Programs

Each program that undergoes Data Element Validation (DEV) has specific data elements that must be verified against source documentation. The WIOA Title I – Source Documentation List (Attachment IV) contains a list of data elements, the allowable types of source documents for each data element, the data element entry location and prompt found in CalJOBS, if applicable. All WIOA Title I Adult, Dislocated Worker, and Youth programs may use the list to identify source documentation that is allowable to confirm validation. For additional guidance and definitions regarding the data elements, refer to WSD 22-15, Attachment 2.

The eligibility verification process and the list of acceptable documents to determine eligibility, are not the same as DEV. While DEV may verify the existence of acceptable documentation for certain eligibility criteria and vice versa, DEV does not verify participant eligibility. 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 validates that the data elements entered in CalJOBS are accurate.

Acceptable Documentation for Eligibility Determination

Eligibility documentation must be collected and entered in CalJOBS for each enrolled program participant. Attachment I, Attachment II and Attachment III provide a detailed list of allowable source documents needed to verify eligibility under each section. Most eligibility criteria offer multiple documentation options to ensure the eligibility process is not too burdensome for applicants to complete.

General program eligibility for all WIOA-funded services under Title I programs includes criteria such as age, authorization to work in the United States and compliance with Selective Service System requirements when applicable, which must be verified and available for subsequent review.

WIOA Adult and Dislocated Worker eligibility requirements depend on the level of services provided to the participant. The documentation required increases as participants move from basic career services, which trigger participation, to individualized career services or training services. For participants receiving only basic career services, Service Providers may accept information provided during the intake process at face value, without requiring source documentation.

For more information regarding eligibility requirements, refer to the Adult and Dislocated Worker Program Eligibility Policy.

WIOA Youth program eligibility documentation does not vary between types of services or program elements received. Youth's eligibility is determined at the time of enrollment. If an individual's situation changes while receiving services, the individual remains eligible until program exit. For example, an Out-of-School youth (OSY) who is 24 years of age (the cut off age for OSY) at the time of enrollment and subsequently turns 25 years of age, is still considered an OSY until exited from the program.

For more information regarding eligibility requirements, refer to the WIOA Youth Program - Participant Eligibility Requirements Policy.

In addition to the general program eligibility requirements for all programs, when applicable, the following data elements must be verified and made available for review:

- Income Eligibility
- Veterans Status
- Dislocated Worker Eligibility
- Barriers

Additional Methods of Allowable Source Documentation

Below are additional types of Source Documentation Service Providers may use, if permissible, to verify eligibility or data element.

1. Telephone or Electronic Communication

In instances where telephone or electronic communication is acceptable and used, the case file must contain the name of the agency representative, the date of the conversation, and the result of verification.

Service Providers must use the WIOA Telephone Eligibility Verification Form (Attachment V), to document telephone communication. If a telephone communication is used to verify dislocation, the case file must contain the date and reason for termination, and a possible recall date, if applicable.

2. Self-Attestation

Self-Attestation occurs when a participant declares their status, for an eligibility or set of eligibility criteria, and then signs and dates a form acknowledging the status.

The key elements for self-attestation are:

- The participant identifying their status for permitted eligibility criteria; and
- Signing and dating the form attesting to this self-identification (e.g., a signed WIOA Program Application, Self-Attestation Verification Form (Attachment VI)).

Note that self-attestation is not to be used as the primary method of gathering documentation to verify data elements. Self-attestation as a documentation source is only to be used when the preferred options of paper documentation or third-party corroboration are not available.

The self-attestation is not a blanket verification for all eligibility components as noted in the Allowable Eligibility Documentation Forms. Within the self-attestation, the individual must document which specific elements of eligibility they are attesting (e.g., authorization to work, proof of termination or layoff, etc.) and how they meet the eligibility criteria.

Service Providers must be cognizant that not all eligibility source documentation may be verified with self-attestation. Therefore, self-attestation does not alleviate or replace the need to collect documentation of some eligibility elements from the individual.

3. Case Notes

Case notes refer to statements placed in CalJOBS by the case manager and identify, at a minimum, the following:

- A participant's status for a specific data element or eligibility criteria;
- The date on which the information was obtained; and
- The case manager who obtained the information.

If case notes are used as allowable source documentation, the case note(s) must provide a documented trail back to the source of information verified. All documents pertinent to participant activities should be scanned through with case notes and/or activities to support those entries.

4. Cross-Match

A cross-match requires the Service Provider staff to acquire detailed supporting evidence, for applicable data element(s), using another database (e.g., public assistance records). An indicator or presence of a social security number in a database alone is not sufficient evidence to document WIOA eligibility; additional details such as the date of the eligibility determination, date of participation, and services rendered should be obtained from the cross-match to confirm the accuracy and currency of the information. The WIOA Title I – Source Documentation List (Attachment IV) identifies the allowable databases to cross-match.

5. Electronic Records

Electronic records are participant records created, stored, or transferred in a form that can only be processed in a computer and maintained in CalJOBS. However, an indicator such as a checkmark or date on a computer screen is not considered acceptable source documentation.

Participation

Adult and Dislocated Worker - An individual becomes a participant in the Adult or Dislocated Worker programs after completing the eligibility determination, satisfying all programmatic requirements, and receiving a staff-assisted basic career service, individualized career service, or training service. An individual who uses self-services, or is assisted with information-only activities, is not considered a participant and therefore does not need to meet eligibility requirements.

Youth - An individual becomes a youth participant in the Youth program after receiving an eligibility determination, completing an objective assessment, completing an individual service strategy, and receiving a service that meets one of the 14 WIOA Youth program elements.

Individuals who use self-service and/or receive information only services or activities are considered reportable individuals and must be documented.

Exited Participant

An exit occurs when the participant has not received program services for 90 consecutive calendar days, and no additional future services are scheduled. The program exit date is applied retroactively after 90 days to the last service's actual end date. Follow-up services, self-services, information-only services or activities, and supportive services do not delay, postpone, or affect the date of exit.

The Allowable Source Documentation for WIOA Program Eligibility form (Attachment I) provides guidance for the specific types of source documents that may be used to verify participant eligibility at each level of service.

Electronic & Physical Files

Service Providers are required to ensure that all participant eligibility documentation is scanned, uploaded, and verified in CalJOBS, while also securely retaining physical copies for a minimum of three years after the final closeout expenditure report for the funding period, or as requested. Both physical and electronic copies of these documents are mandatory until official notification is provided by OCWDB requiring Service Providers to transition to fully paperless practices. For guidance on collecting and storing supporting documents in CalJOBS, refer to the CalJOBS Document Imaging and Scanning Policy. Documents uploaded into the CalJOBS system will be used for verification, ongoing monitoring, and audit purposes in accordance with WIOA and EDD requirements.

To ensure compliance, documents must be readily available upon request for program, fiscal monitors, and auditors during scheduled or unscheduled monitoring reviews. Service Providers must implement internal controls to visually inspect all scanned documents for completeness, clarity, and legibility prior to uploading into CalJOBS. This includes ensuring that the document is properly aligned and free from errors.

Original content of a scanned document must remain unaltered or unmodified once finalized. While scanning the original document is preferred, legible, verified documents provided by partners may also be sufficient for documentation purposes. Documents must be kept current throughout the participant's program involvement, and any new or updated documents must be promptly uploaded into CalJOBS to ensure accurate tracking of eligibility and participation.

Service Providers are required to upload all verification documents into CalJOBS immediately upon availability, following established eligibility guidelines and timeframes. Regular compliance checks must be conducted to ensure that all participant information in CalJOBS is

accurate, and that verification documents are uploaded for all fields requiring validation. Additionally, case notes must clearly state the intent and purpose of each document uploaded, providing a complete audit trail as required by WIOA and EDD TEGL Directives.

To maintain WIOA compliance, Service Providers must engage in regular internal monitoring of both physical and electronic files, ensuring data accuracy, completeness, and timeliness. This monitoring process will involve scheduled audits of file documentation and cross-referencing with CalJOBS entries to ensure that all required fields are accurately supported by appropriate source documentation. Any discrepancies or issues found during monitoring must be addressed promptly to maintain program integrity and avoid disallowed activities and/or costs.

Electronic Signatures

Document Imaging includes the addition of electronic signatures to any necessary documents or forms. Signatures may be captured within CalJOBS or using an electronic software such as pDoc Signer or DocuSign. Service Providers are encouraged to use electronic signatures for participant convenience.

ACTION

Bring this policy to the attention of all staff and relevant parties.

INQUIRIES

If you have any questions regarding this policy, please email info@ocworkforcesolutions.com.

ATTACHMENTS

Attachment I: Allowable Eligibility Documentation - Adult Program

Attachment II: Allowable Eligibility Documentation - Dislocated Worker Program

Attachment III: Allowable Eligibility Documentation - Youth Program

Attachment IV: WIOA Title I - Source Documentation List

Attachment V: WIOA Telephone Eligibility Verification Form

Attachment VI: Self-Attestation Verification Form

WIOA Priority of Service Policy

Redline and Clean Version

Information Notice No. 24-OCWDB-14

Supersedes Information No. 15-OCWDB-07, 10-OCWDA-01



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DIRECTOR
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HELEN FRIED
COUNTY LIBRARIAN
OC PUBLIC LIBRARIES

Date: ~~February 25, 2016~~ October 30, 2024

To: ~~Workforce~~ WIOA Contractors—Subrecipients of the Orange County
Investment Area Development Board

From: ~~Andrew Munoz Nancy Cook~~
Community Investment Division Administrator/Director of
Workforce Development Board

~~Orange County Workforce Investment Board Executive
Director~~

Subject: ~~WIOA Adult Program~~ Priority of Service
Information Notice No. 15-OCWDB-0724-OCWDB-14,
Supersedes Information Notice No. 40-OCWDA-0415-OCWDB-

07

Purpose: PURPOSE

~~This policy provides guidance and establishes the procedures regarding
priority of service for recipients of public assistance, other low-income
individuals, and individuals who are basic skills deficient served with the
Workforce Innovation and Opportunity Act (WIOA) Title I adult Adult funds, as
administered by the Orange County Workforce Investment Board Program
and Veterans priority of service.~~

~~Please note that this guidance was developed using the EDD Workforce
Services Directive WSD15-14 dated January 22, 2016 and WIOA Notices of
Proposed Rule Making (NPRM) and is subject to change based upon
issuance of the final WIOA regulations or further guidance from the
Department of Labor (DOL).~~

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ORANGE COUNTY WORKFORCE INVESTMENT BOARD
1300 SOUTH GRAND BLDG. B, THIRD SECOND FLOOR SANTA ANA, CA 92705
PHONE: 714.480.6500/866.500.6587 FAX: 714.567834.7132



Community Services

Effective Date: EFFECTIVE DATE

Implementation of WIOA priority of service requirements began July 1, 2015. This policy is effective on the date of the issuance.

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References: REFERENCES

- Workforce Services Directive WSD15-14, Subject: WIOA Adult Program Priority of Service (January 22, 2016)
- WIOA (Public Law 113-128) Sections 3 and 134
- Workforce Investment Act (WIA) Section 134 Jobs for Veterans Act (JVA) of 2002 (Public Law 107-288)
- Title 38 United States Code (U.S.C.) Sections 101(2), 4213, and 4215(a), and Chapters 11, 13, 15, 30-31, 33, and 35-36
- Title 20 Code of Federal Regulations (CFR) Part 1010: "Priority of Service for Covered Persons"
- Title 20 Code of Federal Regulations (CFR) "WIOA, Notice of Proposed Rule Making" (NPRM), Final Rule Sections 680.150, 680.600, 680.610, and 680.650 and 683.230
- Title 20 Code of Federal Regulations (CFR) Part 1010: "Priority of Service for Covered Persons" • Title 20 CFR Sections 680.600, 680.650, and 683.230
- Workforce Services Directive WSD15-14, Subject: WIOA Adult Program Priority of Service (January 22, 2016)
- Workforce Services Directive WSD 19-04 Subject: Priority of Service for Veterans and Eligible Spouses (September 11, 2019)
- USDOL, Training and Employment Guidance Letter (TEGL) 19-16, Guidance on Services Provided through the Adult and Dislocated under WIOA (March 1, 2017)
- USDOL, TEGL 10-09, Implementing Priority of Service for Veterans and Eligible Spouses in all Qualified Job Training Programs Funded in whole or in part by the U.S. Department of Labor (November 10, 2009)

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BACKGROUND

The WIOA made several changes to the priority of service requirement through the addition of individuals who are basic skills deficient as a priority population, changing intensive services to career individualized services, and

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- Training and Employment Guidance Letter (TEGL) 06-14, Program Year 2013/Fiscal Year 2014 Data Validation and Performance Reporting Requirements and Associated Timelines, Attachment A (September, 10, 2014)
- TEGL 03-15, Guidance on Services Provided through the Adult and Dislocated under the Workforce Innovation and Opportunity Act and Wagner Peysor, as Amended by WIOA, and Guidance for the Transition to WIOA Services (July 1, 2015)
- Workforce Services Directive WSD08-10, Subject: Final Rule on Priority of Service for Veterans and Eligible Spouses (June 29, 2009)

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BACKGROUND

The WIOA made several changes to the priority of service requirement through the addition of individuals who are basic skills deficient as a priority population, changing intensive services to career individualized services, and removal of the provision which states priority of service is only applied if funds are limited.

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BACKGROUND

The WIOA required that if funds allocated to a Local Area for adult employment and training activities were limited, priority of service was to be provided to recipients of public assistance and other low-income individuals for intensive services and training services.

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The WIOA made several changes to the priority of service requirement by adding through the addition of individuals who are basic skills deficient as a priority population, changing intensive services to career individualized services, and removing removal of the provision which stating states priority of service is only applied if funding funds is are limited.

Veterans and eligible spouses continue to receive priority of service for all DOL-funded programs amongst all participants. These requirements were not affected by the passage of the WIOA and must still be applied in accordance with guidance previously issued by the DOL and Workforce Services Directive WSD08-10.

The Employment and Training Administration (ETA) and Veterans' Employment and Training Service (VETS) released guidance for implementing Priority of Service for Qualified Job Training Programs funded in whole or in part by DOL. Training and Employment Guidance Letter No. 10-09 issued on November 10, 2009 states the following:

Universal access programs. For workforce programs that operate or deliver services to the public as a whole without targeting specific groups, veterans and eligible spouses must receive priority of service over all other program participants. Veterans and eligible spouses receive the first level of priority in universal access programs.

Programs with Eligibility Criteria. Eligibility criteria identify basic conditions that each and every participant in a specific program is required to meet. For example, for the Senior Community Service Employment Program (SCSEP) every participant is required to meet four criteria: a) age 55 or over; b) low income; c) resident of a designated area; and, d) not job ready. It is important to note that a veteran or eligible spouse must first meet any and all of the statutory eligibility criteria in order to be considered eligible for: a) enrollment in the program; b) receipt of priority for enrollment in the program; and c) priority for receipt of services.

In addition to the eligibility criteria that all participants are required to meet, some programs also have priorities that establish a rank order to be observed in enrolling or serving participants. These priorities can be of two types: a) statutory; or, b) discretionary. The

following two subsections provide guidance on how priority of service interacts with these two types of priorities.

~~Programs with Statutory Priorities: Some programs are required by law to provide a priority or preference for a particular group of individuals or require the program to spend a certain portion of program funds on a particular group of persons. An example of this type of priority is the priority for low income individuals, for recipients of public assistance, and for individuals who are basic skills deficient served with Workforce Innovation and Opportunity Act (WIOA) adult funds. For programs with this type of mandatory priority, program operators must determine the status of each individual veteran or eligible spouse and apply priority of service as described below:~~

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- ~~Veterans and eligible spouses who meet the mandatory priorities or spending requirement or limitation must receive the highest level of priority for the program or service;~~
- ~~Non-covered persons who meet the program's mandatory priority or spending requirement or limitation then receive the second level of priority for the program or service;~~
- ~~Veterans and eligible spouses outside the program-specific mandatory priority or spending requirement or limitation then receive the third level of priority for the program or service;~~
- ~~and~~
- ~~Non-covered persons outside the program-specific mandatory priority or spending requirement or limitation then receive the fourth level of priority for the program or service.~~

~~Programs with Discretionary Priorities: Some qualified job training programs may include a focus on a particular group or make efforts to provide a certain level of service to a particular group without the authorizing law specifically mandating that the target group be served before other eligible individuals. Because a discretionary focus of this type is not a statutorily mandated priority or targeting requirement, veterans and eligible spouses must receive the highest priority for programs or services with a discretionary targeting requirement. Non-covered persons within the discretionary targeting group then receive the second level of priority. Non-covered persons outside the discretionary targeting group receive the third level of priority. With respect to priority of service, the only feature that distinguishes discretionary targeting programs from universal access programs is the additional application of the discretionary targeting criterion to the non-covered persons. Therefore, for veterans and eligible spouses, priority of service applies to discretionary targeting programs and services the same way that it applies to universal access programs, i.e., veterans and eligible spouses first.~~

~~The Jobs for Veterans Act (JVA), and the priority of service it requires, acknowledges the sacrifices of the men and women who have served in the U.S. Armed Forces. Priority of service honors veterans and eligible spouses as our "heroes at home" and provides clear entry points into high-growth, high-wage civilian jobs, and easily accessible post-secondary education and training to support their advancement along career pathways. Veterans and eligible spouses possess unique attributes and contribute greatly to the workplace in accordance with the Workforce Directive WSD 19-04.~~

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~~WIOA emphasizes in providing services to individuals with barriers to employment including recipients of public assistance, individuals who are basic skills deficient, or those identified as low-income. These groups, along with veterans and eligible spouses, represent some of the workforce system most in need and are the three priority groups that WIOA specifically~~

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mandates are entitled to receive priority of service "who otherwise meet the eligibility requirements for participation" in Department of Labor (DOL) programs.

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Definitions

Basic Skills Deficient - An individual that is unable to compute or solve problems, or read, write, or speak English, at a level necessary to function on the job, in the individual's family, or in society. -Criteria used to determine whether an individual is basic skills deficient includes the below:

- Lacks a high school diploma or high school equivalency and is not enrolled in post-secondary education;
- Enrolled in a Title II Adult Education/Literacy program;
- English, reading, writing, or computing skills at an 8.9 or below grade level;
- Determined to be Limited English Skills proficient through staff-documented observations; or
- Other objective criteria determined to be appropriate by the Local Area and documented in its required policy.

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Case Notes - Paper or electronic statements by the case manager that identifies, at a minimum:

- A participant's status for a specific data element;
- Date on which the information was obtained; and
- The case manager who obtained the information.

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If case notes are used as a documentation source, the case notes must provide an auditable trail back to the source of information verified. The case manager does not need to keep a hard copy of the information verified in the participant's case file.

Covered Person - A Veteran or eligible spouse.

Economically Disadvantaged Adult (or Low Income) - An Economically Disadvantaged Adult or Low-Income Adult is defined as an individual who meets one of the four subsequent criteria:

1. Receives, or in the past six months has received, or is a member of a family that is receiving, or in the past six months has received, assistance through the Supplemental Nutrition Assistant Program (SNAP) cash payments under a Federal, State, or local income-based public assistance program (which includes Medi-Cal, Medicaid, or Medicare)
2. 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 that, in relation to family size, does not exceed the higher of the following:
 - Poverty level
 - 70% of the Lower Living Standard Income Level/Poverty Standards
3. Qualifies as a homeless individual as defined by the Stewart B. McKinney-Vento Homeless Assistance Act
4. An individual who has a disability and whose own income does not exceed the income requirement in section 2 but is a member of a family whose income does,

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Eligible Spouse - The Spouse of any of the following individuals:

- A. Any Veteran who died of a service-connected disability;
- B. Any member of the Armed Forces serving on active duty who, at the time of application for the priority, is listed in one or more of the following categories and has been so listed for a total of more than 90 days:
 - o Missing in action;
 - o Captured in line of duty by a hostile force; or
 - o Forcibly detained or interned in line of duty by a foreign government or power;
- C. Any Veteran who has a total disability resulting from a service- connected disability, as evaluated by the Department of Veterans Affairs (VA);
- D. Any Veteran who died while a disability, as indicated in paragraph (c) of this section, was in existence.

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A spouse whose eligibility is derived from a living veteran or service member (i.e., categories B, or C, above) would lose his or her eligibility if the veteran or service member were to lose the status that is the basis for the eligibility (e.g., if a veteran with a total service-connected disability were to receive a revised disability rating at a lower level), or upon divorce from the veteran or service member.

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Non-covered Person - Any individual who neither meets the definition of Veteran, nor, as defined as a Spouse of a Veteran.

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Public Assistance Recipient - An individual that receives federal, state, or local government cash payments for which eligibility is determined by a needs or income test.

Self-Attestation - When a participant states his or her status for a particular data element, such as low income, and then signs and dates a form in acknowledgement of this status. The key elements for self-attestation are:

- The participant to identify his or her status for permitted elements; and
- The participant to sign and date the form to this self-identification.

Note that self-attestation is not to be used as the primary method to gather documentation to verify data elements. Self-attestation as a documentation source is only to be used when the preferred options of paper documentation or third-party corroboration are not available.

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Veteran - A Veteran is defined as any individual who served in the active military, naval, or air service, and who was discharged or released under conditions other than dishonorable.

POLICY AND PROCEDURES

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Priority of Service Requirement

As stated outlined in the WIOA Section 134(c)(3)(E), with respect to priority of service for individualized career services and training services funded with WIOA adult funds, priority of service must be given to recipients of public assistance, other low-income individuals, or individuals who are basic skills deficient, or veterans and eligible spouses. This policy ensures that priority populations, especially veterans and eligible spouses, are made aware of their entitlement to priority of services, the full array of employment, training, and placement services available under priority of service, and any applicable eligibility requirements for those programs and/ or services. Additionally, service providers must ensure that written copies of local priority of service policies are maintained at all service

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delivery points and, to the extent practicable, posted in a way that makes it possible for members of the public to easily access them.

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~~Priority of service status is established at the time of eligibility determination and does not change during the period of participation. Priority does not apply to the dislocated worker population. Priority of service means that veterans and eligible spouses are entitled to take precedence over non-covered persons in obtaining employment, training, and placement services. More specifically, a veteran or an eligible spouse either receives access to a service earlier in time than a non-covered person or, if the resource is limited, the veteran or eligible spouse receives access to the service instead of or before the non-covered person in obtaining services.~~

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Veterans and eligible spouses continue to receive priority of service among all eligible individuals; however, they must meet the WIOA ~~A~~adult ~~P~~rogram eligibility criteria and meet the criteria under WIOA Section 124(c)(3)(E).

~~As described in TEGL 10-09, when programs are statutorily required to provide priority, such as the WIOA adult program, then priority must be provided in the following order:~~

~~**Veterans and Eligible Spouses Applying Priority of Service**~~

~~The application of priority of service varies depending on the eligibility requirements of the particular program. There are four basic categories of DOL-funded programs: universal access programs, programs that require participants to meet specified eligibility criteria, programs with statutory priorities, and programs with discretionary priorities. The following describes how priority of service applies to these basic types of programs.~~

~~Universal Access Programs – For workforce programs that operate or deliver services to the public as a whole without targeting specific groups (e.g., WIOA basic career services), veterans and eligible spouses receive priority of service over all other program participants.~~

~~Programs with Eligibility Criteria – Eligibility criteria identify basic conditions that each participant in a specific program is required to meet. For example, for the WIOA Adult, Dislocated Worker, and Youth programs, every participant is required to meet program eligibility requirements (e.g., age, selective service registration, etc.). A veteran or eligible spouse must first meet all of the eligibility criteria in order to be considered eligible for participation in the program. Once determined eligible for participation, the veteran or eligible spouse receives priority for participation in the program and receipt of services.~~

~~Programs with Statutory Priorities - In addition to the eligibility criteria that all participants are required to meet, some programs have priorities that target certain populations and establish a rank order for enrolling or serving participants (e.g., the WIOA priority for Adult funds to serve recipients of public assistance, other low-income individuals, and individuals who are basic skills deficient). While veterans' priority is required under federal law and cannot be waived, it is not intended to displace existing eligibility requirements and statutory priorities. Therefore, in these instances, veterans and eligible spouses must first meet both the program's eligibility and statutory priority criteria to receive priority for participation in the program and receipt of services. Program operators must determine the~~

status of each individual veteran or eligible spouse and apply priority of service in the following order:

1. Veterans and eligible spouses who meet the program's statutory priority requirement (e.g., veterans and eligible spouses who are also recipients of public assistance, other low-income individuals, or individuals who are basic skills deficient).
2. Non-covered persons who meet the program's statutory priority requirement (e.g., non-covered persons who are recipients of public assistance, other low-income individuals, or individuals who are basic skills deficient).
3. Veterans and eligible spouses who do not meet the program's statutory priority requirement.
4. Priority populations established by the Governor and/or Local Workforce Development Board.
5. Non-covered persons outside the program's statutory priority requirement.

Programs with Discretionary Priorities – Programs with discretionary priorities may make an effort to provide a certain level of service to a particular group. However, the law does not mandate that the target group be served before other eligible individuals. With respect to priority of service, the only feature that distinguishes discretionary targeting programs from universal access programs is the additional application of the discretionary targeting criterion to non-covered persons. Therefore, program operators must apply priority of service in the order below:

1. Veterans and eligible spouses.
2. Non-covered persons within the discretionary targeting group.
3. Non-covered persons outside the discretionary targeting group.

Universal Access Programs

For workforce programs that operate or deliver services to the public as a whole without targeting specific groups, Veterans and eligible spouses must receive priority of service over all other program participants. Veterans and eligible spouses receive the first level of priority in universal access programs.

Identifying Veterans and Eligible Spouses

Service providers must put processes into place to ensure that veterans and eligible spouses are identified at the point of entry and given an opportunity to take full advantage of priority of service. The point of entry includes physical locations such as America's Job Centers of California, as well as websites such as CalJOBS, and other virtual service delivery resources. These processes should ensure that veterans and eligible spouses are aware of their entitlement to priority of service, the full array of employment, training, and placement services available under priority of service, any applicable eligibility requirements for those programs and services, and in cases of online points of entry, how to access assistance via the nearest AJCC.

Programs with Eligibility Criteria

Eligibility criteria identify basic conditions that every participant in a specific program is required to meet. It is important to note that a Veteran or eligible spouse must first meet all the statutory eligibility criteria in order to be considered eligible for: a) enrollment in the program; b) receipt of priority for enrollment in the program; and c) priority for receipt of services.

Programs with Statutory Priorities

~~In addition to the eligibility criteria that all participants are required to meet, some programs have priorities that target certain populations and establish a rank order for enrolling or serving participants (e.g., the WIOA Adult Program provides priority of service to recipients of public assistance, other low income individuals, and individuals who are basic skills deficient). While veterans' priority is required under federal law and cannot be waived, it is not intended to displace existing eligibility requirements and statutory priorities. Therefore, in these instances, veterans and eligible spouses must first meet both the program's eligibility and statutory priority criteria to receive priority for participation in the program and receipt of services.~~

~~Service Providers must determine the status of each individual Veteran or eligible spouse, and apply priority of service as described below:~~

- ~~— Veterans and eligible spouses who meet the mandatory priorities or spending requirement or limitation must receive the highest level of priority for the program or service;~~
- ~~— Non-covered persons who meet the program's mandatory priority or spending requirement or limitation then receive the second level of priority for the program or service;~~
- ~~— Veterans and eligible spouses outside the program specific mandatory priority or spending requirement or limitation then receive the third level of priority for the program or service; and~~
- ~~— Non-covered persons outside the program specific mandatory priority or spending requirement or limitation then receive the fourth level of priority for the program or service.~~

Programs with Discretionary Priorities

~~Some qualified job training programs may include a focus on a particular group or make efforts to provide a certain level of service to a particular group without the authorization of the law specifically with instruction that the target group be served before other eligible individuals.~~

- ~~— Because a discretionary focus of this type is not a statutorily mandated priority or a target requirement, Veterans and eligible spouses must receive the highest priority for programs or services with a discretionary target requirement.~~
- ~~— Non-covered persons within the discretionary target group then receive the second level of priority.~~
- ~~— Non-covered persons outside the discretionary target group receive the third level of priority.~~

~~The only feature that distinguishes discretionary target programs from universal access programs is the additional application of the discretionary target criterion to the non-covered persons. Therefore, for Veterans and eligible spouses, priority of service applies to discretionary target programs and services the same way that it applies to universal access programs, i.e., Veterans and eligible spouses first.~~

Identifying Veterans and Eligible Spouses

~~Service providers must put processes into place to ensure that veterans and eligible spouses are identified at the point of entry and given an opportunity to take full advantage of priority of service. The point of entry includes physical locations such as American Job Centers of California, as well as websites such as CalJOBS, and other virtual service delivery resources. These processes should ensure that veterans and eligible spouses are aware of~~

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their entitlement to priority of service, the full array of employment, training, and placement services available under priority of service, any applicable eligibility requirements for those programs and services, and in cases of online points of entry, how to access assistance via the nearest AJCC. This information must be provided to "covered persons" either verbally or in writing at each point in the program:

1. At the point of entry; and
2. At orientation; and
3. At eligibility determination; and
4. At assessment; and
5. During program activities.

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General Requirements

For individualized career services and training services funded by WIOA Adult funds, priority of service must be given to recipients of public assistance, other low-income individuals, or individuals who are basic skills deficient.

Priority of service status is established at the time of eligibility determination and does not change throughout the period of participation. Priority does not apply to the dislocated worker population.

When programs are statutorily required to provide priority, such as the WIOA Adult program, after eligibility for that program is determined, then priority must be provided in the order below:

Group 1:

1. Group 1 - First priority must be given to Veterans and eligible spouses who are also Economically Disadvantaged Adults (i.e., recipients of public assistance and other low income individuals) or individuals who are basic skills deficient. Veterans and Eligible Spouses would receive first priority for services with WIOA Adult formula funds for individualized career services and training services. ~~must meet the guidelines indicated in Table I - Definitions. Economically Disadvantaged Adults is defined in Table I - Definitions.~~

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Group 2:

2. Group 2 - Second priority must be given to Economically Disadvantaged Adults (i.e., recipients of public assistance or other low income individuals), or individuals who are basic skills deficient.

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Group 3:

3. Group 3 - Third priority must be given to Veterans and eligible spouses who are not economically disadvantaged (i.e., not recipients of public assistance or ~~not~~ other low income individuals) or are not basic skills deficient.

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Group 4:

~~4. Group 4 - Fourth priority is given to other individuals such as Older Workers (55 and older), former Foster Youth, the Disabled, School Dropouts and Offenders who are not economically disadvantaged (i.e. not recipients of public assistance or not other low income individuals), or not basic skills deficient. [Reference - TEGL 3-15 Guidance on Services Provided through the Adult and Dislocated under the Workforce Innovation and Opportunity Act and Wagner Peyser, as Amended by WIOA, and Guidance for the Transition to WIOA Services] priority populations established by the Governor and/or Local Workforce Development Board.~~

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~~Group 5:~~

~~5. Group 5- Fifth priority is given to the underemployed workers who do fall within Groups 1 through 4 and who are in need of WIOA individualized services. Individuals who are underemployed may include: non-covered persons outside the groups given priority under WIOA;~~

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- ~~• Individuals employed less than full-time who are in search of full-time employment;~~
- ~~• Individuals who are employed in a position that is inadequate with respect to their skills and training;~~
- ~~• Individuals who are employed who meet the definition of a low-income individual in WIOA Sec. 3(36); and,~~
- ~~• Individuals who are employed, but whose current job's earnings are not sufficient compared to their previous job's earnings from their previous employment, per State and/or local policy.~~

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~~Individuals employed less than full-time who are seeking full-time employment;
Individuals who are employed in a position that is inadequate with respect to their skills and training;
Individuals who are employed who meet the definition of a low-income individual in WIOA Sec. 3(36); and,
Individuals who are employed, but whose current job's earnings are not sufficient compared to their previous job's earnings from their previous employment, per State and/or local policy.
[Reference: TEGL 3-15]~~

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~~For additional guidance on providing priority of service to veterans through the one-stop system, please reference Workforce Services Directive WSD08-10 issued by EDD on June 29, 2009.~~

Income Eligibility Requirements

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When determining eligibility for programs that have a statutory requirement to serve low income individuals, many types of military service-related income are exempt. Certain pay, financial allowances, and financial benefits must be disregarded for veterans, transitioning service members, or any other individuals for whom these amounts would normally be applied in making an eligibility determination.

The following types of military-related income are not included in low-income calculations:

- Military pay or allowances paid while on active duty;
- b) Military pay or allowances paid by the VA for vocational rehabilitation, disability payments, or related VA-funded programs (including the VA work study allowance),

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and including any financial benefits received under the following chapters of Title 38 U.S.C.:

- Chapter 11 - Compensation for service-connected disability or death;
- Chapter 13 - Dependency and indemnity compensation for service-connected deaths. Chapter 30 - All-volunteer force educational assistance program;
- Chapter 31 - Training and rehabilitation for veterans with service-connected disabilities;
- Chapter 33 – Post-9/11 educational assistance;
- Chapter 35 - Survivors' and dependents' educational assistance; and
- Chapter 36 - Administration of educational benefits.
- Any benefits received under Title 10 U.S.C. Chapter 106 - Educational assistance for members of the selected reserve. Page 7 of 8

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The following types of military-related income are included in low-income calculations:

- Pension payments authorized by Title 10 U.S.C., such as those received by military retirees, regardless of whether their retirement was based on disability; and
- Pension benefits paid under Title 38 U.S.C. Chapter 15 – Pensions for low-income, wartime veterans who are disabled for reasons not connected or related to their military service.

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Also note that VA benefits for education and training services do not constitute "other grant assistance" under WIOA's eligibility requirements. Therefore, veterans or eligible spouses who are eligible for the GI Bill or other forms of VA-funded education or training are not required to coordinate their entitlement to those benefits with their eligibility for WIOA-funded training, as stipulated under 20 CFR Section 680.230. Staff may not require veterans or eligible spouses to exhaust their entitlement to VA funded training prior to enrolling them in WIOA-funded training.

For purposes of this policy, the definitions in Attachment I apply.

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Career and Training Services

Under WIOA, the WIA core and intensive services are merged into a new category entitled "career services."

The career services category includes:

basic career services, found at WIOA Section 134(c)(2)(A)(i)-(xi), and individualized career services, found at WIOA Section 134(c)(2)(A)(xii).

Basic career services are not subject to the priority of service requirement.

However, individualized career services and training services are subject to the requirement (Title 20 CFR NPRM Section 680.150).

Attachment II lists the WIOA services under Basic, Individualized, or Training services.

Documentation

It is not necessary for staff to verify the status of priority of service until the individual undergoes eligibility determination and is enrolled in a WIOA individualized career service or training service. Until the point at which the participant receives an individualized career

~~service or training service, an individual who states they meet the priority eligibility criteria must be accorded priority of service on the basis of self-attestation. Attachment III lists sources of documentation that shall be used to verify whether an adult participant qualifies for priority of service under WIOA:~~

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~~In instances in which eligibility determination and enrollment in a WIOA individualized career service occurs at the point of entry, a covered person must be enrolled, provided immediate priority, and permitted to follow-up subsequently with any required verification of his or her status as a covered person. -WIOA Programs Documentation Requirements Policy lists sources of documentation that shall be used to verify whether an adult participant qualifies for priority of service under WIOA.~~

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NOTES:

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~~The EDD does not require a certain percentage requirement for Priority of Service. According to Federal Register, Notice of Proposed Rulemaking (NPRM), §680.610, the statutory priority for low-income individuals, public assistance recipients, and individuals who are basic skills deficient only applies to the WIOA adult program and not the WIOA dislocated worker program.~~

~~WIOA Section 3(50) — the term PUBLIC ASSISTANCE means federal, state or local government cash payments for which eligibility is determined by a needs or income test. WIOA Section 3(36) defines the term LOW INCOME INDIVIDUAL. One of the six “low-income individual” definitions refers to an individual who “(i) receives, or in the past 6 months has received, or is a member of a family that is receiving or in the past 6 months has received, assistance through the supplemental nutrition assistance program established under the Food and Nutrition Act of 2008 (7 U.S.C. 2011 et seq.), the program of block grants to States for temporary assistance for needy families program under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), or the supplemental security income program established under title XVI of the Social Security Act (42 U.S.C. 1381 et seq.), or State or local income-based public assistance.”~~

~~All service providers must ensure that all barriers of employment are documented as a way to accurately measure populations served within the one-stop system.~~

ACTION:

~~Bring this policy to the attention of all affected staff all relevant parties.~~

~~For income-based eligibility, use the appropriate Lower Living Standard Income Level (LLSIL) and Poverty Guidelines Chart (Information Notice No. 15-OCWDA-02).~~

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ATTACHMENT(S):S

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~~None~~

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INQUIRIES:

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~~If you have any questions regarding this policy, please email info@ocworkforcesolutions.com, contact your Contract Administrator by calling (714) 480-6500.~~

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ATTACHMENT I: Definitions

PRIORITY OF SERVICE	
Term	Definition
Basic Skills Deficient	<p>An individual that is unable to compute or solve problems, or read, write, or speak English, at a level necessary to function on the job, in the individual's family, or in society (WIOA Section 3(5)).</p> <p>Criteria used to determine whether an individual is basic skills deficient includes the following:</p> <ul style="list-style-type: none"> • Lacks a high school diploma or high school equivalency and is not enrolled in post-secondary education. • Enrolled in a Title II Adult Education/Literacy program. • English, reading, writing, or computing skills at an 8.9 or below grade level. • Determined to be Limited English Skills proficient through staff documented observations. • Other objective criteria determined to be appropriate by the Local Area and documented in its required policy.
Case Notes	<p>Paper or electronic statements by the career consultant that identifies, at a minimum, (1) a participant's status for a specific data element, (2) the date on which the information was obtained, and (3) the career consultant who obtained the information. If case notes are used as a documentation source, the case notes must provide an auditable trail back to the source of information verified. The career consultant does not need to keep a hard copy of the information verified in the participant's case file.</p> <p>Example:</p>

	<p>A career consultant verifies an individual is basic skills deficient by viewing school records, specifically, enrollment in a Title II Adult Education/Literacy program. The case notes must include auditable information, such as the name of the school and the date of enrollment, which could allow an auditor/monitor to later retrieve this information. The career consultant would not need to keep a hard copy of the school record in the participant's file (TEGL 06-14, Attachment A).</p>
Economically Disadvantaged Adult (or Low Income)	<p>An Economically Disadvantaged Adult or Low Income is defined as an individual who <u>meets one</u> of the following criteria:</p> <ol style="list-style-type: none"> 1. Receives, or in the past six months has received, or is a member of a family that is receiving, or in the past six months has received, assistance through the Supplemental Nutrition Assistant Program (SNAP) cash payments under a Federal, State, or local income-based public assistance program (including Medi-Cal, Medicaid or Medicare) 2. 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 that, in relation to family size, does not exceed the higher of the following: <ol style="list-style-type: none"> a. Poverty level b. 70% of the Lower Living Standard Income Level/Poverty Standards 3. Qualifies as a homeless individual as defined by the Stewart B. McKinney-Vento Homeless Assistance Act. 4. An individual who has a disability and whose own income does not exceed the income requirement in section 2, but is a member of a family whose income does. <p><i>[Reference: WIOA Section 3(36)]</i></p>
<i>Continuation of Table 1</i>	
Public Assistance Recipient	<p>An individual that receives federal, state, or local government cash payments for which eligibility is determined by a needs or income test (WIOA Section 3(50)).</p>
Self-Attestation	<p>When a participant states his or her status for a particular data element, such as low income, and then signs and dates a form acknowledging this status. The key elements for self-attestation are (1) the participant identifying his or her status for permitted elements, and (2) signing and dating a form attesting to this self-identification. The form and signature can be on paper or in the Local Area management information system, with an electronic signature (TEGL 06-14, Attachment A).</p> <p>*Note that self-attestation is not to be used as the primary method of gathering documentation to verify data elements. Self-attestation as a documentation source is only to be used when the preferred options of paper documentation or third party corroboration are not available.</p>
Veteran	<p>A Veteran is defined as any individual who:</p> <ol style="list-style-type: none"> 1. Served in the active military, naval, or air service, and who was discharged or released under conditions other than dishonorable; OR 2. The Spouse of any of the following individuals: <ol style="list-style-type: none"> a. Any Veteran who died of a service-connected disability; b. Any member of the Armed Forces serving on active duty who, at the time of application for the priority, is listed in one or more of the following categories and has been so listed for a total of more than 90 days: <ol style="list-style-type: none"> (i) Missing in action; (ii) Captured in line of duty by a hostile force; or

	<p>(iii) Forcibly detained or interned in line of duty by a foreign government or power;</p> <p>G. Any Veteran who has a total disability resulting from a service-connected disability, as evaluated by the Department of Veterans Affairs;</p> <p>d. Any Veteran who died while a disability, as indicated in paragraph (e) of this section, was in existence.</p>
--	---

ATTACHMENT II – WIOA Services

TYPE OF WIOA SERVICES	EXAMPLES OF SERVICES
Basic Career Services	<p>Basic career services must be made available to all individuals seeking services offered by the one-stop delivery system, and include the following:</p> <ul style="list-style-type: none"> * Determinations of whether the individual is eligible to receive assistance from the adult, dislocated worker, or youth programs. * Outreach, intake (including identification through the state's Worker Profiling and Reemployment Services system of unemployment insurance (UI) claimants likely to exhaust benefits), and orientation to information and other services available through the one-stop delivery system. * Initial assessment of skill levels including literacy, numeracy, and English language proficiency, as well as aptitudes, abilities (including skills gaps), and supportive service needs. * Labor exchange services, including the following: <ul style="list-style-type: none"> ▷ Job search and placement assistance, and, when needed by an individual, career counseling, including the following: <ul style="list-style-type: none"> * Provision of information on in-demand industry sectors and occupations [as defined in WIOA Section 3(23)]. * Provision of information on nontraditional employment [as defined in WIOA Section 3(37) of]. * Provision of referrals to and coordination of activities with other programs and services, including those within the one-stop delivery system and, when appropriate, other workforce development programs. <p>* Provision of workforce and labor market employment statistics information, including the provision of accurate information relating to local, regional, and national labor market areas, including the following: <ul style="list-style-type: none"> ▷ Job vacancy listings in labor market areas. </p>

	<ul style="list-style-type: none"> ▷ Information on job skills necessary to obtain the vacant jobs listed. ▷ Information relating to local occupations in demand and the earnings, skill requirements, and opportunities for advancement for those jobs. * Provision of performance information and program cost information on eligible providers of training services by program and type of providers. * Provision of information about how the Local Area is performing on local performance accountability measures, as well as any additional performance information relating to the area's one-stop delivery system. * Provision of information relating to the availability of supportive services or assistance, and appropriate referrals to those services and assistance, including (1) child care, (2) child support, (3) medical or child health assistance available through the state's Medicaid program and Children's Health Insurance Program, (4) benefits under the SNAP, (5) assistance through the earned income tax credit, (6) housing counseling and assistance services sponsored through the U.S. Department of Housing and Urban Development, (7) and assistance under a state TANF program, and other supportive services and transportation provided through that program. * Assistance in establishing eligibility for programs of financial aid assistance for training and education programs not provided under WIOA. * Provision of information and assistance regarding filing claims under UI programs, including meaningful assistance to individuals seeking assistance in filing a claim: <ul style="list-style-type: none"> ▷ Meaningful assistance means providing assistance as follows: <ul style="list-style-type: none"> * On-site using staff who are properly trained in UI claims, filing, and/or the acceptance of information necessary to file a claim (note that, staff providing
<p><i>Continuation of Table II</i></p>	<p>UI assistance may be UI, Wagner-Peyser, or other America's Job Center of CaliforniaSM (AJCC) partner staff members who have been properly trained to provide this type of assistance and service. Note that, questions, advice, or decisions that could affect a claimant's eligibility should only be handled by UI program staff.</p> <ul style="list-style-type: none"> * By phone or via other technology, as long as the assistance is provided by trained and available staff and within a reasonable time. <p>†</p> <ul style="list-style-type: none"> ▷ The costs associated in providing meaningful assistance may be paid for by the state's UI program, the WIOA adult or dislocated worker programs, the Wagner-Peyser Employment Service, or some combination thereof these funding sources.
<p>Individualized Career Service</p>	<p>Individualized career services are subject to priority of service, and consist of the following:</p> <ul style="list-style-type: none"> * Comprehensive and specialized assessments of the skill levels and service needs of adults and dislocated workers, which may include the following: <ul style="list-style-type: none"> ▷ Diagnostic testing and use of other assessment tools. ▷ In-depth interviewing and evaluation to identify employment barriers and appropriate employment goals. * Development of an individual employment plan, to identify the employment goals, appropriate achievement objectives, and appropriate combination of services for the participant to achieve his or her employment goals, including the list of, and information about, eligible training providers. * Group and/or individual counseling and mentoring. * Career planning (e.g. case management). * Short-term pre-vocational services, including development of learning skills, communication skills, interviewing skills, punctuality, personal maintenance skills, and professional conduct to prepare individuals for unsubsidized employment or training, in some instances pre-apprenticeship programs may be considered as short-term pre-vocational services. * Internships and work experiences that are linked to careers.

	<ul style="list-style-type: none"> • Workforce preparation activities that help an individual acquire a combination of basic academic skills, critical thinking skills, digital literacy skills, and self-management skills, including competencies in utilizing resources, using information, working with others, understanding systems, and obtaining skills necessary for successful transition into and completion of postsecondary education, or training, or employment. • Financial literacy services. • Out-of-area job search assistance and relocation assistance. • English language acquisition and integrated education and training programs.
<p>Training Services</p> <p><i>Continuation of Table #</i></p>	<p>Training services are subject to priority of service, and consist of the following:</p> <ul style="list-style-type: none"> • Occupational skills training, including training for nontraditional employment • On-the-job training • Incumbent worker training. • Programs that combine workplace training with related instruction, which may include cooperative education programs. • Training programs operated by the private sector. • Skill upgrading and retraining. • Entrepreneurial training • Transitional jobs • Job readiness training provided in combination with another service • Adult education and literacy activities, including activities of English language acquisition and integrated education and training programs, provided concurrently or in combination with another training service. • Customized training conducted with a commitment by an employer or group of employers to employ an individual upon successful completion of the training.

ATTACHMENT III – Documentation

PRIORITY OF SERVICE	
Priority of Service Criteria	Acceptable Documentation <i>(Only the documentation sources listed below may be used.)</i>
Recipient of Public Assistance	<ul style="list-style-type: none"> • Cross-match with public assistance database • Copy of authorization to receive cash • public assistance • Copy of public assistance check • Medical card showing cash grant status • Public assistance records • Refugee assistance records
Low Income	<ul style="list-style-type: none"> • Alimony agreement • Award letter from veteran's administration • Bank statements • Compensation award letter • Court award letter • Pension statement • Employer statement/contact • Family or business financial records • Housing authority verification • Pay stubs • Public assistance records • Quarterly estimated tax for self-employed persons • Social Security benefits • Unemployment Insurance documents • Self attestation*
Basic Skills Deficient	<ul style="list-style-type: none"> • School Records <ul style="list-style-type: none"> ◦ A referral or records from a Title II Basic Adult Education program or English Language Learner program • Results of academic assessment • Case notes* • Self Attestation*

WIOA ADULT PROGRAM PRIORITY OF SERVICE
PAGE 20 OF 20
FEBRUARY 25, 2016

<p>*Please reference the definition section of this directive for additional guidance on case notes or self-attestation being used for documentation purposes.</p>	



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JULIE QUILLMAN
COUNTY LIBRARIAN
OC PUBLIC LIBRARIES

Date: October 30, 2024
To: WIOA Subrecipients of the Orange County Workforce Development Board
From: Nancy Cook
Director of Workforce Development Board
Subject: WIOA Priority of Service
Information Notice No. 24-OCWDB-14
Supersedes Information Notice No. 15-OCWDB-07

PURPOSE

This policy provides guidance regarding the Workforce Innovation and Opportunity Act (WIOA) Title I Adult Program and Veterans priority of service.

EFFECTIVE DATE

This policy is effective on the date of the issuance.

REFERENCES

- WIOA (Public Law 113-128) Sections 3 and 134
- Jobs for Veterans Act (JVA) of 2002 (Public Law 107-288)
- Title 38 United States Code (U.S.C.) Sections 101(2), 4213, and 4215(a), and Chapters 11, 13, 15, 30-31, 33, and 35-36
- Title 20 Code of Federal Regulations (CFR) Part 1010: "Priority of Service for Covered Persons"
- Title 20 Code of Federal Regulations (CFR) WIOA, Final Rule Sections 680.150, 680.600, 680.610, 680.650 and 683.230
- Title 20 Code of Federal Regulations (CFR) Part 1010: "Priority of Service for Covered Persons" • Title 20 CFR Sections 680.600, 680.650, and 683.230
- Workforce Services Directive WSD15-14, Subject: WIOA Adult Program Priority of Service (January 22, 2016)
- Workforce Services Directive WSD 19-04 Subject: Priority of Service for Veterans and Eligible Spouses (September 11, 2019)
- USDOL, Training and Employment Guidance Letter (TEGL) 19-16, Guidance on Services Provided through the Adult and Dislocated under WIOA (March 1, 2017)
- USDOL, TEGL 10-09, Implementing Priority of Service for Veterans and Eligible Spouses in all Qualified Job Training Programs Funded in whole or in part by the U.S. Department of Labor (November 10, 2009)



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BACKGROUND

The WIOA made several changes to the priority of service requirement through the addition of individuals who are basic skills deficient as a priority population, changing intensive services to career individualized services, and removal of the provision which states priority of service is only applied if funds are limited.

The Jobs for Veterans Act (JVA), and the priority of service it requires, acknowledges the sacrifices of the men and women who have served in the U.S. Armed Forces. Priority of service honors veterans and eligible spouses as our “heroes at home” and provides clear entry points into high-growth, high-wage civilian jobs, and easily accessible post-secondary education and training to support their advancement along career pathways. Veterans and eligible spouses possess unique attributes and contribute greatly to the workplace in accordance with the Workforce Directive WSD 19-04.

WIOA emphasizes providing services to individuals with barriers to employment including recipients of public assistance, individuals who are basic skills deficient, or those identified as low-income. These groups, along with veterans and eligible spouses, represent some of the workforce system most in need and are the three priority groups that WIOA specifically mandates are entitled to receive priority of service “who otherwise meet the eligibility requirements for participation” in Department of Labor (DOL) programs.

DEFINITIONS

Basic Skills Deficient - An individual that is unable to compute or solve problems, or read, write, or speak English, at a level necessary to function on the job, in the individual’s family, or in society. Criteria used to determine whether an individual is basic skills deficient includes the below:

- Lacks a high school diploma or high school equivalency and is not enrolled in post-secondary education;
- Enrolled in a Title II Adult Education/Literacy program;
- English, reading, writing, or computing skills at an 8.9 or below grade level;
- Determined to be Limited English Skills proficient through staff-documented observations; or
- Other objective criteria determined to be appropriate by the Local Area and documented in its required policy.

Case Notes - Paper or electronic statements by the case manager that identifies, at a minimum:

- A participant's status for a specific data element;
- Date on which the information was obtained; and
- The case manager who obtained the information.

If case notes are used as a documentation source, the case notes must provide an auditable trail back to the source of information verified. The case manager does not need to keep a hard copy of the information verified in the participant’s case file.

Covered Person - A Veteran or eligible spouse.

Economically Disadvantaged Adult (or Low Income) - An Economically Disadvantaged Adult or Low-Income Adult is defined as an individual who meets one of the four subsequent criteria:

1. Receives, or in the past six months has received, or is a member of a family that is receiving, or in the past six months has received, assistance through the Supplemental Nutrition Assistant Program (SNAP) cash payments under a Federal, State, or local income-based public assistance program (which includes Medi-Cal, Medicaid, or Medicare)
2. 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 that, in relation to family size, does not exceed the higher of the following:
 - Poverty level
 - 70% of the Lower Living Standard Income Level/Poverty Standards
3. Qualifies as a homeless individual as defined by the Stewart B. McKinney-Vento Homeless Assistance Act
4. An individual who has a disability and whose own income does not exceed the income requirement in section 2 but is a member of a family whose income does.

Eligible Spouse - The Spouse of any of the following individuals:

- A. Any Veteran who died of a service-connected disability;
- B. Any member of the Armed Forces serving on active duty who, at the time of application for the priority, is listed in one or more of the following categories and has been so listed for a total of more than 90 days:
 - 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;
- C. Any Veteran who has a total disability resulting from a service-connected disability, as evaluated by the Department of Veterans Affairs (VA);
- D. Any Veteran who died while a disability, as indicated in paragraph (c) of this section, was in existence.

A spouse whose eligibility is derived from a living veteran or service member (i.e., categories B. or C. above) would lose his or her eligibility if the veteran or service member were to lose the status that is the basis for the eligibility (e.g., if a veteran with a total service-connected disability were to receive a revised disability rating at a lower level), or upon divorce from the veteran or service member.

Non-covered Person - Any individual who neither meets the definition of Veteran, nor as defined as a Spouse of a Veteran.

Public Assistance Recipient - An individual that receives federal, state, or local government cash payments for which eligibility is determined by a needs or income test.

Self-Attestation - When a participant states his or her status for a particular data element, such as low income, and then signs and dates a form in acknowledgement of this status. The key elements for self-attestation are:

- The participant to identify his or her status for permitted elements; and
- The participant to sign and date the form to this self-identification.

Note that self-attestation is not to be used as the primary method to gather documentation to verify data elements. Self-attestation as a documentation source is only to be used when the preferred options of paper documentation or third-party corroboration are not available.

Veteran - A Veteran is defined as any individual who served in the active military, naval, or air service, and who was discharged or released under conditions other than dishonorable.

POLICY AND PROCEDURES

As outlined in the WIOA Section 134(c)(3)(E), priority of service for individualized career services and training services funded with WIOA adult funds must be given to recipients of public assistance, other low-income individuals, individuals who are basic skills deficient, or veterans and eligible spouses. This policy ensures that priority populations, especially veterans and eligible spouses, are made aware of their entitlement to priority of services, the full array of employment, training, and placement services available under priority of service, and any applicable eligibility requirements for those programs and/ or services. Additionally, service providers must ensure that written copies of local priority of service policies are maintained at all service delivery points and, to the extent practicable, posted in a way that makes it possible for members of the public to easily access them.

Priority of service means that veterans and eligible spouses are entitled to take precedence over non-covered persons in obtaining employment, training, and placement services. More specifically, a veteran or an eligible spouse either receives access to a service earlier in time than a non-covered person or, if the resource is limited, the veteran or eligible spouse receives access to the service instead of or before the non-covered person in obtaining services.

Veterans and eligible spouses continue to receive priority of service among all eligible individuals; however, they must meet the WIOA Adult Program eligibility criteria and meet the criteria under WIOA Section 124(c)(3)(E).

Applying Priority of Service

The application of priority of service varies depending on the eligibility requirements of the particular program. There are four basic categories of DOL-funded programs: universal access programs, programs that require participants to meet specified eligibility criteria, programs with statutory priorities, and programs with discretionary priorities. The following describes how priority of service applies to these basic types of programs.

Universal Access Programs – For workforce programs that operate or deliver services to the public as a whole without targeting specific groups (e.g., WIOA basic career services), veterans and eligible spouses receive priority of service over all other program participants.

Programs with Eligibility Criteria – Eligibility criteria identify basic conditions that each participant in a specific program is required to meet. For example, for the WIOA Adult, Dislocated Worker, and Youth programs, every participant is required to meet program eligibility requirements (e.g., age, selective service registration, etc.). A veteran or eligible spouse must first meet all of the eligibility criteria in order to be considered eligible for participation in the program. Once determined eligible for participation, the veteran or eligible spouse receives priority for participation in the program and receipt of services.

Programs with Statutory Priorities - In addition to the eligibility criteria that all participants are required to meet, some programs have priorities that target certain populations and establish a rank order for enrolling or serving participants (e.g., the WIOA priority for Adult funds to serve recipients of public assistance, other low-income individuals, and individuals who are basic skills deficient). While veterans' priority is required under federal law and cannot be waived, it is not intended to displace existing eligibility requirements and statutory priorities. Therefore, in these instances, veterans and eligible spouses must first meet both the program's eligibility and statutory priority criteria to receive priority for

participation in the program and receipt of services. Program operators must determine the status of each individual veteran or eligible spouse and apply priority of service in the following order:

1. Veterans and eligible spouses who meet the program's statutory priority requirement (e.g., veterans and eligible spouses who are also recipients of public assistance, other low-income individuals, or individuals who are basic skills deficient).
2. Non-covered persons who meet the program's statutory priority requirement (e.g., non-covered persons who are recipients of public assistance, other low-income individuals, or individuals who are basic skills deficient).
3. Veterans and eligible spouses who do not meet the program's statutory priority requirement.
4. Priority populations established by the Governor and/or Local Workforce Development Board.
5. Non-covered persons outside the program's statutory priority requirement.

Programs with Discretionary Priorities – Programs with discretionary priorities may make an effort to provide a certain level of service to a particular group. However, the law does not mandate that the target group be served before other eligible individuals. With respect to priority of service, the only feature that distinguishes discretionary targeting programs from universal access programs is the additional application of the discretionary targeting criterion to non-covered persons. Therefore, program operators must apply priority of service in the order below:

1. Veterans and eligible spouses.
2. Non-covered persons within the discretionary targeting group.
3. Non-covered persons outside the discretionary targeting group.

Identifying Veterans and Eligible Spouses

Service providers must put processes into place to ensure that veterans and eligible spouses are identified at the point of entry and given an opportunity to take full advantage of priority of service. The point of entry includes physical locations such as American Job Centers of California, as well as websites such as CalJOBS, and other virtual service delivery resources. These processes should ensure that veterans and eligible spouses are aware of their entitlement to priority of service, the full array of employment, training, and placement services available under priority of service, any applicable eligibility requirements for those programs and services, and in cases of online points of entry, how to access assistance via the nearest AJCC. This information must be provided to "covered persons" either verbally or in writing at each point in the program:

1. At the point of entry; and
2. At orientation; and
3. At eligibility determination; and
4. At assessment; and
5. During program activities.

General Requirements

For individualized career services and training services funded by WIOA Adult funds, priority of service must be given to recipients of public assistance, other low-income individuals, or individuals who are basic skills deficient.

Priority of service status is established at the time of eligibility determination and does not change throughout the period of participation. Priority does not apply to the dislocated worker population.

When programs are statutorily required to provide priority, such as the WIOA Adult program, after eligibility for that program is determined, then priority must be provided in the order below:

1. Group 1 - First priority must be given to Veterans and eligible spouses who are also Economically Disadvantaged Adults (i.e., recipients of public assistance and other low income individuals) or individuals who are basic skills deficient. Veterans and Eligible Spouses would receive first priority for services with WIOA Adult formula funds for individualized career services and training services.
2. Group 2 - Second priority must be given to Economically Disadvantaged Adults (i.e., recipients of public assistance or other low income individuals), or individuals who are basic skills deficient.
3. Group 3 - Third priority must be given to Veterans and eligible spouses who are not economically disadvantaged (i.e., not recipients of public assistance or other low income individuals) or are not basic skills deficient.
4. Group 4 - Fourth priority is given to priority populations established by the Governor and/or Local Workforce Development Board.
5. Group 5- Fifth priority is given to non-covered persons outside the groups given priority under WIOA:
 - Individuals employed less than full-time who are in search of full-time employment;
 - Individuals who are employed in a position that is inadequate with respect to their skills and training;
 - Individuals who are employed who meet the definition of a low-income individual in WIOA Sec. 3(36); and,
 - Individuals who are employed, but whose current job's earnings are not sufficient compared to their previous job's earnings from their previous employment, per State and/or local policy.

Income Eligibility Requirements

When determining eligibility for programs that have a statutory requirement to serve low income individuals, many types of military service-related income are exempt. Certain pay, financial allowances, and financial benefits must be disregarded for veterans, transitioning service members, or any other individuals for whom these amounts would normally be applied in making an eligibility determination.

The following types of military-related income are not included in low-income calculations:

- Military pay or allowances paid while on active duty;
- b) Military pay or allowances paid by the VA for vocational rehabilitation, disability payments, or related VA-funded programs (including the VA work study allowance), and including any financial benefits received under the following chapters of Title 38 U.S.C.:
 - Chapter 11 - Compensation for service-connected disability or death;
 - Chapter 13 - Dependency and indemnity compensation for service-connected deaths. Chapter 30 - All-volunteer force educational assistance program;
 - Chapter 31 - Training and rehabilitation for veterans with service-connected disabilities;
 - Chapter 33 – Post-9/11 educational assistance;

- Chapter 35 - Survivors' and dependents' educational assistance; and
- Chapter 36 - Administration of educational benefits.
- Any benefits received under Title 10 U.S.C. Chapter 106 - Educational assistance for members of the selected reserve. Page 7 of 8

The following types of military-related income are included in low-income calculations:

- Pension payments authorized by Title 10 U.S.C., such as those received by military retirees, regardless of whether their retirement was based on disability; and
- Pension benefits paid under Title 38 U.S.C. Chapter 15 – Pensions for low-income, wartime veterans who are disabled for reasons not connected or related to their military service.

Also note that VA benefits for education and training services do not constitute “other grant assistance” under WIOA’s eligibility requirements. Therefore, veterans or eligible spouses who are eligible for the GI Bill or other forms of VA-funded education or training are not required to coordinate their entitlement to those benefits with their eligibility for WIOA-funded training, as stipulated under 20 CFR Section 680.230. Staff may not require veterans or eligible spouses to exhaust their entitlement to VA funded training prior to enrolling them in WIOA-funded training.

Documentation

It is not necessary for staff to verify the status of priority of service until the individual undergoes eligibility determination and is enrolled in a WIOA individualized career service or training service. Until the point at which the participant receives an individualized career service or training service, an individual who states they meet the priority eligibility criteria must be accorded priority of service on the basis of self-attestation.

In instances in which eligibility determination and enrollment in a WIOA individualized career service occurs at the point of entry, a covered person must be enrolled, provided immediate priority, and permitted to follow-up subsequently with any required verification of his or her status as a covered person. WIOA Programs Documentation Requirements Policy lists sources of documentation that shall be used to verify whether an adult participant qualifies for priority of service under WIOA.

ACTION

Bring this policy to the attention of all affected staff all relevant parties.

INQUIRIES

If you have any questions regarding this policy, please email info@ocworkforcesolutions.com.

ATTACHMENTS

None

Item #08 – ACTION

AJCC Certification Process
 Recommendation Summary
 October 30, 2024

BACKGROUND:

Under the Workforce Innovation and Opportunity Act (WIOA), Local Workforce Development Boards (Local Boards) are responsible for ensuring high-quality service delivery at American Job Center of California (AJCC) locations. WIOA established a framework for AJCC certification, which is required once every three years. The certification process is designed to ensure the Effectiveness of AJCC services, Accessibility for individuals with disabilities, and Continuous Improvement of the AJCC system.

The WIOA Joint Final Rule outlines three key requirements for AJCC Certification:
 Effectiveness of the AJCC,
 Physical and programmatic accessibility for individuals with disabilities, and
 Continuous improvements for local AJCC system.

Assessment Process:

As mandated by WIOA Section 121(g), the OCWDB has appointed an evaluation panel to conduct independent assessments of AJCCs using the CWDB's Baseline Criteria Matrix and Certification Indicator Assessment at the following AJCC sites by County staff and OCWDB members:

- Comprehensive OC Workforce Solutions Center North (Brea)
- OC Workforce Solutions Center South (Laguna Niguel)
- Los Alamitos Joint Forces Training Base
- Manchester Office Building
- Mobile Unit
- Probation Center South County
- Tustin Temporary Emergency Shelter

Next Steps:

The completed assessments will be submitted to EDD Regional Advisors by the November 1, 2024 deadline. This submission will ensure that AJCCs meet WIOA certification standards and continue to deliver consistent, high-quality services to job seekers, workers, and employers.

Fiscal Impact:

No additional fiscal impact.

RECOMMENDATION(S):

1. Approve the American Job Center of California (AJCC) Baseline Criteria Matrices and Certification Indicator Assessments for Program Years 2024-27.
2. Allow staff to make non-substantive changes as necessary.

ATTACHMENT(S):

Comprehensive Certification Matrix Baseline Criteria and Certification Indicator Assessment for each site

AJCC Baseline Certification Matrix

The American Job Centers of California (AJCC) undergo a baseline certification process to ensure compliance with WIOA statutory and regulatory standards. This includes the completion of Memorandums of Understanding (MOUs), provision of required services, and ensuring accessibility for individuals with disabilities. Evaluators noted that all locations met these requirements. WIOA Section 188 compliance monitoring was completed for most centers in PY 2021-22, with no findings. New centers opened after this compliance period and were therefore not applicable for the review.

AJCC Certification Assessment Indicators

The assessment focuses on continuous improvement across seven key indicators:

Indicator 1: Universal Access

Evaluators noted the AJCCs excelled in creating a welcoming and accessible environment for all individuals, including those with disabilities, through both in-person and virtual services supported by assistive technology. Staff training effectively addresses disabilities, cultural differences, and employment barriers, with additional accessibility provided by physical accommodations and flexible hours. Recommendations for affiliate locations focused on further refining disability access training, enhancing Equal Opportunity Officer training, and expanding language services to support continuous improvement.

Indicator 2: One-Stop System Partnerships

Evaluators praised the AJCCs' effective partnerships with co-located and non-co-located partners, supported by bi-monthly meetings to discuss services and share feedback. They noted that the One-Stop System has a detailed referral process outlined in the MOU to coordinate services. Recommendations included improving CalJOBS referral usage, developing a follow-up process for referral statuses, and using the "start, stop, continue" feedback method to enhance partner collaboration and service improvements.

Indicator 3: Customer-Centered Services

Evaluators highlighted the AJCCs' focus on staff cross-training and client feedback to deliver personalized, customer-centered services. Structured intake and integrated case management ensure a seamless transition from enrollment to service delivery. Recommendations included enhancing engagement with external partners, maintaining consistent cross-training for all staff across locations, and improving communication channels at affiliate sites to strengthen collaboration.

Indicator 4: Skill Development and Career Pathways

Evaluators appreciated the AJCC staff's commitment to enhancing clients' skills and employment outcomes through career guidance, workshops, and individualized support. Using a data-driven approach, AJCCs leverage labor market information to guide clients toward regional career pathways and target sectors. Recommendations included continuing staff training on labor market trends and increasing the visibility of AJCC services, especially at affiliate locations like the Los Alamitos Joint Forces Training Base and Tustin Emergency Shelter.

Indicator 5: Industry Engagement and Sector Strategies

Evaluators observed that the AJCCs effectively align services with regional economic needs, using employer feedback to refine business strategies. Business services include job placement, Work Experience, On-the-Job Training programs, and hiring events. Recommendations noted specifically for affiliate locations emphasized expanding efforts to explore innovative job connection strategies to further enhance client outcomes.

Indicator 6: Cross-Trained Staffing

Evaluators identified that comprehensive staff training at the AJCCs covers labor market information, customer service, and partner services, with bi-monthly meetings fostering collaboration. Recommendations included refining training processes, ensuring all staff remain informed about sector strategies and partner programs, and formalizing more frequent check-ins with partner programs to enhance service quality.

Indicator 7: Data-Driven Continuous Improvement.

Evaluators valued the AJCC's effective performance tracking, which ensures accountability by using client satisfaction surveys to adjust services based on feedback. The AJCC collects data from both clients and employers to refine its service offerings. Recommendations included enhancing the feedback process in affiliate locations, such as the Tustin Emergency Shelter and South County Field Services.

Item #09– ACTION

2025 OCWDB Meeting Calendar
Recommendation Summary
October 30, 2024

BACKGROUND:

Per OCWDB Bylaws, the OCWDB shall, at its last meeting of each calendar year, adopt a schedule of regular meetings (no meetings in July or December) and transmit that schedule in writing to members, the County and the public at large. At a minimum the OCWDB shall hold one regular meeting per quarter, as scheduled by the OCWDB Executive Director in coordination with the Chair and OCCR.

RECOMMENDATION(S):

Review and approve 2025 meeting schedule for the Orange County Workforce Development Board and Standing Committees.

ATTACHMENT(S):

1. OCWDB 2025 Calendar Draft



2025 DRAFT Meeting Schedule

JANUARY							FEBRUARY							MARCH							
Sun	Mon	Tues	Wed	Thur	Fri	Sat	Sun	Mon	Tues	Wed	Thur	Fri	Sat	Sun	Mon	Tues	Wed	Thur	Fri	Sat	
			1	2	3	4							1							1	
5	6	7	8	9	10	11	2	3	4	5	6	7	8	2	3	4	5	6	7	8	
12	13	14	15	16	17	18	9	10	11	12	13	14	15	9	10	11	12	13	14	15	
19	20	21	22	23	24	25	16	17	18	19	20	21	22	16	17	18	19	20	21	22	
26	27	28	29	30	31		23	24	25	26	27	28		23	24	25	26	27	28	29	
														30	31						
APRIL							MAY							JUNE							
Sun	Mon	Tues	Wed	Thur	Fri	Sat	Sun	Mon	Tues	Wed	Thur	Fri	Sat	Sun	Mon	Tues	Wed	Thur	Fri	Sat	
		1	2	3	4	5					1	2	3	1	2	3	4	5	6	7	
6	7	8	9	10	11	12	4	5	6	7	8	9	10	8	9	10	11	12	13	14	
13	14	15	16	17	18	19	11	12	13	14	15	16	17	15	16	17	18	19	20	21	
20	21	22	23	24	25	26	18	19	20	21	22	23	24	22	23	24	25	26	27	28	
27	28	29	30				25	26	27	28	29	30	31	29	30						
JULY							AUGUST							SEPTEMBER							
Sun	Mon	Tues	Wed	Thur	Fri	Sat	Sun	Mon	Tues	Wed	Thur	Fri	Sat	Sun	Mon	Tues	Wed	Thur	Fri	Sat	
		1	2	3	4	5						1	2		1	2	3	4	5	6	
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27	28	29	30	31			24	25	26	27	28	29	30	28	29	30					
							31														
OCTOBER							NOVEMBER							DECEMBER							
Sun	Mon	Tues	Wed	Thur	Fri	Sat	Sun	Mon	Tues	Wed	Thur	Fri	Sat	Sun	Mon	Tues	Wed	Thur	Fri	Sat	
			1	2	3	4							1			1	2	3	4	5	6
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26	27	28	29	30	31		23	24	25	26	27	28	29	28	29	30	31				
							30														

- Youth Committee 10:00 AM
- One-Stop Oversight Committee (OS) 10:00 AM
- Business Services Committee (BS) 10:00 AM
- Executive Committee 10:00 AM
- OC Workforce Development Board (Full Board) 10:00 AM

Item #10 – ACTION

Election of Officers

Recommendation Summary

October 30, 2024

BACKGROUND:

Per OCWDB Bylaws, election of officers shall be held annually during the last OCWDB meeting of each calendar year by majority vote, a quorum being present. Nominations will be taken from the floor (and members can self-nominate) at the OCWDB meeting.

RECOMMENDATION(S):

Accept nominations from the floor and conduct election for the following OCWDB positions for a term of (1) year:

- A) Chairperson
- B) First Vice Chairperson
- C) Second Vice Chairperson

ATTACHMENT(S):

None



Connecting job seekers and businesses to no-cost services.

PERFORMANCE DASHBOARD | PROGRAM YEAR 24-25 Q1

CENTER STATS



6,092

VISITORS TO CENTERS



4,065 BREA CENTER
2,027 LAGUNA NIGUEL CENTER



2,267

CENTER CALLS



■ 1st TIME VISITOR ■ WALK-INS
■ APPOINTMENT ■ RESOURCE ROOM



BUSINESS SERVICES



89

EMPLOYERS SERVED



1,376

JOB SEEKERS SERVED

- 11 HIRING EVENTS
- 00 CAREER FAIRS
- 01 INCUMBENT WORKER TRAININGS
- 01 ON-THE-JOB TRAININGS
- 11 WORK EXPERIENCE SITES

16

WARN NOTICES

748

EMPLOYEES IMPACTED

ENROLLMENTS

420

Adult



■ YTD ACTUAL ■ GOAL
Median Quarterly Earnings

303

Dislocated Worker



■ YTD ACTUAL ■ GOAL
Median Quarterly Earnings

16

Veteran



■ YTD ACTUAL ■ GOAL
Median Hourly Wages

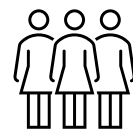
424

Youth
138 IN-SCHOOL
286 OUT-OF-SCHOOL



■ YTD ACTUAL ■ GOAL
Median Quarterly Earnings

REGIONAL UPDATES



941

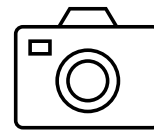
REGISTERED
JOB SEEKERS

Orange Workforce Alliance Regional Career Expo



160

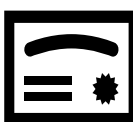
EMPLOYERS
ENGAGED



200

HEADSHOTS
TAKEN

HIGHLIGHTS



- TOP 3 TRAININGS
- CLASS A/B DRIVING
 - DATA SCIENCE/ANALYTICS
 - SHRM HUMAN RESOURCES



- TOP 3 WORKSHOPS
- RESUME REVIEW
 - MOCK INTERVIEW
 - BEST JOB SEARCH PRACTICES



- 272 WORKSHOPS HOSTED
- 9 PARTICIPANTS COMPLETED CLASS A/B DRIVING TRAINING

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