



Data Validation & Documentation Policy Handbook

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Purpose

This Data Validation & Documentation Policy Handbook communicates WorkForce Central's WIOA Title I, State EcSA, Federal (Fed) EcSA and Community Reinvestment Program (CRP) data validation requirements and provides instruction for the uploading of source documentation pertinent to the eligibility determination, program enrollment, delivery of services, and performance outcomes of WIOA Title I, State EcSA, Fed EcSA, and CRP enrolled individuals into Washington State's Management Information System (MIS) known as "WA Works".

This policy handbook supersedes WorkForce Central's previous *ETO Data Validation & Documentation Policy Handbook, Rev. 7* dated November 14, 2025.

This policy was revised to:

- Update the policy title to, "*Data Validation & Documentation Policy Handbook*".
- Align data validation and documentation requirements with WA State's new management information system (MIS) "WA Works" that replaced "ETO".
- Remove outdated ETO instructions.
- Replace "*Department Head approval*" with "*supervisor approval*" to align with ESD Policy 1020, Rev. 3.
- Include Federal EcSA (Fed EcSA) documentation and data validation requirements.
- Discontinue previously required EMAP notification at program enrollment.
- Non-substantial edits for clarity.

Background

As a recipient of WIOA Title I, State EcSA, Fed EcSA and CRP funding, WorkForce Central and its service providers are required to ascertain the validity, accuracy, and reliability of participant data through program and financial reporting to the Department of Labor (DOL), Washington State Employment Security Department (ESD), Department of Commerce, and WorkForce Central.

WIOA Title I specific data validation requirements are set forth in Section 166 of the [Workforce Innovation and Opportunity Act](#) (WIOA). Fed EcSA is funded through WIOA Statewide Activities funds and follows the same WIOA Title I regulations; therefore, Fed EcSA data validation requirements will be found alongside applicable WIOA Title I program data validation requirements throughout this policy handbook. DOL, ESD, and WorkForce Central will monitor our WIOA Title I and Fed EcSA programs for compliance with the data validation requirements set forth in [TEGL 23-19 Change 3, Attachment II](#), ESD Policy 1003 (current edition), - *Data Validation*, and this policy.

State EcSA and CRP are funded by Washington State General Funds and will have slightly different data validation requirements than the federal WIOA Title I and Fed EcSA programs. WorkForce

Central and its State EcSA and CRP service providers must maintain and report accurate and reliable State EcSA and CRP program and financial information to Washington State ESD and Dept. of Commerce. ESD and WorkForce Central will monitor compliance with ESD's Policy 7000 (current edition) - *State Guidance and Instructions for the State EcSA Program*, ESD's Policy 7005 (current edition) - *Community Reinvestment Fund* (current edition), ESD's Policy 7010 (current revision) - *Community Reinvestment Plan Matched Investment Savings Account*, WorkForce Central EcSA and CRP policies, and this policy.

Modern time saving and cost cutting business practices and virtual work environments embrace the elimination of paper "hard files" for storing participant source documentation used in the data validation process. Case management and compliance oversight is most efficient when source documentation is stored in a common and secure virtual database. Common virtual case file documentation practices across WIOA title I, State EcSA, Fed EcSA and CRP programs ensures consistency, increases accuracy, and contributes to lean practices.

Policy

It is WorkForce Central's policy to ensure, to the maximum extent feasible, the accuracy of the data entered by WIOA Title I, State EcSA, Fed EcSA, and CRP providers into WA Works. WorkForce Central's service providers must upload and record all source documentation and case notes related to the demographics, eligibility determination, program enrollment, provision of services, and employment and training outcomes of WIOA Title I, State EcSA, Fed EcSA and CRP recipients into WA Works as outlined in this policy handbook.

WorkForce Central will conduct ongoing reviews of WA Works records and reports to ensure compliance with this policy and to validate the accuracy of information recorded in WA Works. WorkForce Central's service providers are required to conduct similar ongoing review of WA Works records and reports to ensure compliance with this policy and to validate the accuracy of information their team is recording in WA Works.

Errors identified in WA Works must be resolved immediately. As needed, WorkForce Central will assist providers in correcting errors identified in WA Works and will provide ongoing training and technical assistance as appropriate, but not less frequently than on an annual basis. Repeated and/or ongoing failure to record accurate and timely data through WA Works may result in WorkForce Central placing the service provider on a corrective action plan, reallocating funds, or suspension or termination of the provider's WIOA Title I, State EcSA, Fed EcSA, or CRP contracts.

To ensure consistency and accuracy of the uploading of data validation source documentation into WA Works across all WIOA Title I, State EcSA, Fed EcSA and CRP programs, WorkForce Central's service providers are required to comply with the procedures described in this policy handbook when recording services and other data, uploading documents, and recording case notes into WA Works records.

Providers are authorized to upload documents in addition to those referenced in this policy. When doing so, providers must ensure consistent naming conventions and consistent WA Works filing system for these additional documents.

References

- WIOA Section 116
- 20 CFR 667.300
- 2 CFR 200.328
- TEGLs:
 - 10-16, Change 2
 - 05-18
 - 07-18
 - 14-18
 - 23-19, Change 3
- TEN 19-22, Change 1
- ESD Policy 1003 (current revision)-Data Element Validation
- ESD Policy 1020 (current revision)-Data Integrity and Performance Policy and Handbook
- ESD Policy 1031 - Management of Medical and Disability Related Information
- ESD Policy 5414 (current revision)-WIOA Title I Monitoring
- ESD Policy 5625 (current revision)-Federal Economic Security for All Program
- ESD Policy 7000 (current revision)-State Guidance and Instructions for the State Economic Security for All (EcSA) Program
- ESD Policy 7005 (current revision)-Community Reinvestment Funds
- ESD Policy 7010 (current revision)-Community Reinvestment Plan Matched Investment Savings Accounts

Timely and Accurate Data Entry

Real time and accurate data entry is imperative. For WIOA Title I and Fed EcSA, DOL requires the collection and reporting of *“accurate and timely information about individuals who receive services through programs authorized under the law”* (20 CFR WIOA Joint Rule, Department’s response on page 55793) and further describes the states’ responsibilities for ensuring valid and reliable data collection in 20 [CFR 677.240](#). ESD’s Policy 1003 (current revision) and ESD Policy 1020 (current and revision) describe the state’s requirement for WIOA Title I and Fed EcSA data validation and timely data entry requirements. WorkForce Central adopts the same expectations for the State’s EcSA and CRP programs as reflected in WorkForce Central’s State EcSA policies.

Service providers must be familiar with the participant services associated with each program and record the accurate service in WA Works. Service definitions are located in ESD’s WorkSource Service Catalog, located at ESD’s [Workforce Professionals Center website, Technology tab](#). Service definitions are also built into WA Works by hovering over the service name to open a quick view window with service definitions or a service definition will display when you click on the service.

Services recorded in WA Works must align with the objectives, outcomes and deliverables associated with the program of enrollment and that of the individual’s employment and training goals, and be documented in case notes recorded in WA Works. Case notes must support the data recorded in WA Works including the demographics, eligibility, services provided, and outcomes of services for individuals enrolled in WIOA Title I, State EcSA, Fed EcSA, and CRP programs. Not all interactions with individuals will qualify as a service and while these interactions should be documented in case notes, a service reflecting these interactions should not be recorded in WA Works

WIOA Title I, State EcSA, Fed EcSA and CRP service providers must record services, upload supporting data validation source documentation, and record case notes corroborating participant eligibility determination, program enrollment, services provided, and outcomes of services in real time. If real time data entry is not possible, service providers have seven (7) calendar days to record services, upload applicable documentation, and record case notes. Dates of services recorded in WA Works must reflect the date of the actual service.

If services are entered beyond the 7-day allotted timeframe, or errors identified after the 7-day restriction, the reason for the late entry or correction must be recorded in case notes. As required in ESD Policy 1020 (current revision) a supervisor must document in case notes the specific service that was recorded late or corrected, the reason for the late entry or correction, and that the supervisor reviewed and approved the late entry or correction.

Supervisor case note requirements are not applicable for all other late WA Works entries or corrections to a WA Works record. The reason for all other corrections to a WA Works record must be documented in case notes recorded by the career advisor rather than the supervisor. The case note must include the specific edits made to the WA Works record and the date the

edits occurred. Depending on the circumstances, the case note will be recorded in a standalone case note or in the applicable service touchpoint.

Case Notes

Case notes are a required method of documenting WIOA Title I, State EcSA, Fed EcSA, and CRP enrollments and services and represent the essential elements of WIOA Title I, State EcSA, Fed EcSA and CRP program service delivery. Case notes create a historical record of service delivery and are a compliance record for risk management and cost allowances. As such, case notes must be recorded in WA Works as described in this policy.

Recording case notes is critical because they weave each service element provided to program recipients into a comprehensive service plan. Case notes provide a complete, accurate, and concise explanation of frequency and type of contact with individuals enrolled in WIOA Title I, State EcSA, Fed EcSA and CRP programs, including the type of services provided and the outcomes associated with those services. Case notes are a tool to help service providers organize and analyze the information and plan appropriate case management strategies.

It is imperative that WorkForce Central, its service providers, one-stop partners, federal, state, and local monitors and auditors are able to recognize and discern each service and expenditure provided to and made on behalf of a WIOA Title I, State EcSA, Fed EcSA and CRP recipients.

Case notes create a paper trail should questions arise about how program services were provided and are considered legal documents that may be subpoenaed by the courts or disclosed through public records requests. Case notes are also used to represent service providers' compliance with federal, state, and local policies. Case notes are subject to DOL, ESD, and WorkForce Central monitoring and data validation reviews.

Case notes recorded in WA Works must not contain confidential medical information, see [ESD WorkSource System Policy 1031](#) and [Confidential Information](#), below.

Detailed, accurate, and up-to-date case notes are important for the following reasons (this list is not intended to be an exhaustive or exclusive list):

- If a change in WIOA Title I, State EcSA, Fed EcSA, or CRP service provider occurs, and/or a participant file is transferred to a new career advisor, the new service provider or career advisor should be able to follow the story of why an individual was enrolled, services that were planned and provided, and the current status of the participant.
- In the absence of a career advisor, management may need information pertaining to the services provided to the participant.
- WIOA Title I, State EcSA, Fed EcSA and CRP funded activities are subject to program monitoring, fiscal auditing, data validation reviews, and other compliance oversight by DOL, ESD, Washington State Auditor's Office (SAO), WorkForce Central, and other authorized personnel who must have access to information pertaining to the services

provided to participants to evaluate the effectiveness of the services provided, appropriateness of funds spent, and assure conformance to governing laws, regulations, and policies.

- Case notes are heavily relied on for data validation purposes. Detailed examination of case notes will provide justification and documentation for actions taken and may provide evidence for which physical documentation is not available.
- WA Works records with limited, incomplete, or missing case notes may contribute to questioned and disallowed costs.
- The participant WA Works record may be requested by the individual receiving services, subpoenaed by the legal system, or through public records disclosure.

Case notes must be entered into WA Works and should provide substantial detail about the individual's eligibility, services planned and provided, and service outcomes. For data validation purposes, case notes documenting the dates of services and activities such as program enrollment, service delivery, service outcomes, and program completion must match the dates separately recorded in WA Works.

Case notes must be factual and not contain opinions, derogatory statements, or diagnosis for which the career advisor is not qualified to make.

Case notes must not contain information identifying other individuals enrolled in WIOA Title I, State EcSA, Fed EcSA, or CRP programs.

The frequency of case note documentation is determined by the intensity of the service delivery plan. However, the minimum expectation for case note documentation is **once per calendar month** while the individual is actively engaged in the WIOA Title I, State EcSA, Fed EcSA, or CRP program. These minimum monthly case notes should address services provided, general contact or contact attempts with the participant, or any other information that is pertinent to the participant's engagement in the program. Case notes documenting edits to a WA Works record do not count toward the monthly case note requirement.

When a participant's WA Works record is transferred from one case manager to another, or to a new service provider, the case note should reflect the date the file was transferred and to whom.

When an individual's WIOA Title I, State EcSA, Fed EcSA or CRP WA Works record is transferred from one Workforce Development Area (WDA) to another, case notes should provide the details about why and when the file is transferred and include the name(s) and contact information of the previous and new service providers.

Confidential Information

For the WIOA Title I, State EcSA, Fed EcSA and CRP programs, collecting a participant's medical diagnosis or other medically confidential information is not required, nor is it authorized to

upload or record in WA Works. In the event a provider determines the collection of medically confidential information is necessary, the documentation must be saved in a paper file and stored in a locked and secure location separate from all other confidential information (e.g., court documents). See [ESD WorkSource System Policy 1031](#) and WorkForce Central's Protecting Personally Identifiable Information (PII) Policy located on WorkForce Central's [Policy Library](#) for more information.

In February 2024, the State's Equal Opportunity Department notified WorkForce Central that references to a participant's pregnancy is considered medically confidential information and cannot be documented in case notes recorded in WA Works. For the WIOA Title I Youth (Young Adult) program, pregnancy is an eligibility criterion for youth. Moving forward, service providers must not record "pregnant" in case notes when a young adult meets this eligibility criteria. Instead, providers must document the young adult met *"eligibility criteria for category #7 for Out-of-School Youth (OSY)"*.

In November 2025, the State's Equal Opportunity (EO) Department informed WorkForce Central that case notes must not include references to a participant's "medical file" or "medical reason" or other references to a participant's "medical" situation. The State EO Department provided the following examples for rephrasing to ensure compliance with the participant's confidential situation:

- *"On medical leave"* must be recorded as *"absent for an approved reason"*.
- *"Due to a medical condition"* must be recorded as *"due to an approved reason"*.
- *"Due to medical advice"* must be recorded as *"due to an approved reason"*.
- *"Due to a health related issue"* must be recorded as *"due to an approved reason"*.
- *"See medical file"* must be recorded as *"see confidential file"*.

In addition, references to a medical condition must not be included in case notes. For example, mentioning a participant's "injury" or stating a participant was "sick" must not be included in case notes. See [ESD WorkSource System Policy 1031](#) for further information.

All Other Documentation

All other documentation relevant to the participant's enrollment and/or service delivery strategy not described in this policy must be uploaded and linked to the appropriate eligibility criteria or service WA Works.

Scanning and Shredding Requirements

WorkForce Central follows the Washington State Archive's procedures for scanning and destroying documents. Full procedures for destruction of materials after scanning are located at the WA State Archives' ["Requirements for Destruction of Non-archival Paper Records after Imaging"](#).

All documents uploaded into WA Works must be complete, accurate, and legible copies of the original records. Black and white documents containing fonts no smaller than 6-point, grayscale, and color records must be scanned with a resolution of at least 300 dpi. Documents meeting these criteria may be shredded after scanning and only after it is first confirmed the scanned item is legible in the WA Works record.

Providers must have written quality control procedures and work instructions to ensure a consistent capture of complete, accurate, and legible copies of original records. Providers must train staff who have scanning responsibilities to ensure adherence to these requirements and procedures.

Program Eligibility & Enrollment

WIOA Title I and Fed EcSA source documentation for program-specific eligibility data elements and program enrollment must be in compliance with WorkForce Central's WIOA Title I Program Eligibility, Enrollment & Documentation Policy Handbook and this policy, located at WorkForce Central's [Policy Library](#) and with ESD Policy 1003 (current revision), Attachment B, ESD Policy 1019 (current revision), and Department of Labor's TEGL 23-19 (current revision).

State EcSA and CRP source documentation for program-specific eligibility data elements and program enrollment must be in compliance with WorkForce Central's State EcSA-CRP Program Policy, State EcSA Work Experience (WEX) Policy, and State EcSA CRP Business Support Policy, located at WorkForce Central's [Policy Library](#).

In some instances, data validation source documentation that is unaffiliated with mandatory program eligibility may be collected or verified after program enrollment. For example, when income is a program eligibility criterion, an individual may self-attest to their income or public assistance status at program enrollment via a completed and signed program application, signed and dated WA Works Self-Attest Form, or other forms of self-attestation. TANF, SNAP or other public assistance source documentation may be collected and uploaded into WA Works after program enrollment for data validation purposes. Regardless of the timing, the collection of income or public assistance documentation is required for data validation purposes.

Self-Attestation

Self-attestation may be used for authorized eligibility and data validation purposes when other DOL or State required source documentation is unavailable, or when collecting source documentation poses a hardship on the program applicant, or if the collection of documentation will delay program enrollment. Self-attestation may be collected in the following formats:

- Signed and dated WA Works Self-Attest Form, or

- Signed and dated paper program application, or
- Electronically signed program application, or
- Texts, emails, online surveys that are dated and traceable to the participant.

Self-attestations in the form of a signed and dated WIOA Title I, Fed EcSA, or State EcSA program application must be uploaded in WA Works. Self-attestations in the form of a signed and dated paper program application must be uploaded in WA Works.

Remote or Virtual Eligibility Documentation

Remote or virtual source documentation is allowed. It can be obtained and verified:

- By electronic means (emailed or texted attachments, scans, digital photographs sent in encrypted form, electronic signature platforms such as DocuSign or Verisign).
- Through copies of documents sent via postal pick-up or mail drop-off at local one-stop sites.
- Through a combination of the above in order to safeguard Personally Identifiable Information (PII).

Required signatures for eligibility documentation (including applications, Equal Opportunity (EO) and complaint procedures, data collection certification, and self-attestation) can be obtained via:

- Electronic document signing platforms (e.g., DocuSign, Verisign).
- Electronically transmitted digital photos of signed documents.
- Postal mail pick-up or drop-off paper forms.
- Email (in lieu of signatures)
 - For applications and Equal Opportunity (EO) and complaint procedures, applicants must reply in the affirmative that they have read and understand the information. The responses and date stamps on the emailed replies indicate completion of the form.
 - For the data collection certification and self-attestation forms, applicants must reply in the affirmative that they certify the information is true and accurate. The responses and date stamps on the emailed replies indicate completion of the form.
- A combination of the above.

Program Enrollment-All WIOA Title I Programs, State EcSA, Fed EcSA, and CRP

The following eligibility and enrollment documentation must be uploaded and/or recorded into WA Works for all WIOA Title I and Fed EcSA enrolled individuals and for State EcSA and CRP enrolled individuals where applicable (*eligibility for State EcSA includes meeting any of the WIOA Title I program eligibility requirements, excluding Selective Service; Fed EcSA eligibility is the same*

as WIOA Title I). Co-enrollment into WIOA Title I is optional and not required.

I. Registration and Intake:

- a. Navigate to the participant's WA Works contact details page. Click on the *Launch Intake* button.
 - i. Every demographic radial button and drop down option must be answered.
 - ii. After registration and intake are complete the participant must have a *Validated Intake* status.

II. Program Enrollment

- a. Click on *Program Opportunities* in the *Related List Quick Links* section.
- b. Select the Program Opportunity # of the program you are enrolling the participant into.
- c. Click on the *Enroll Participant* button.
- d. Every demographic radio button and drop-down option must be answered.
- e. Upload all required source documentation.
- f. Enroll – Pre-service by clicking the *Submit and Complete* button.
 - i. Upload the applicable source documentation used to validate the participant's demographics and eligibility criteria into the appropriate field.
 1. Alternatively, uploading all enrollment and eligibility source documentation (including a paper WIOA Title I program application if applicable) in one packet is acceptable. Ensure the touchpoint is clearly identified as containing the eligibility source documentation.
- g. Naming Conventions: There are a variety of source documents authorized to validate eligibility and participant demographics when completing the WA Works WIOA Eligibility workflow (See ESD Policy 1003, Current Revision Attachment B), and for State EcSA program enrollment, where applicable. When uploading source documentation **other than a self-attestation**, title the document what it is and what the specific eligibility criteria the document is validating. For all naming conventions, it is ok to add the participant's initials in front of the document title. For example:
 - i. When uploading I-9 or other work authorization documents to validate eligibility to work in the U.S., title the document, "*Work Auth Verification*".
 - ii. If uploading an ID to verify age, title the document, "*ID, Age Verification*". Or if adding the participant's initials, "*KD-ID, Age Verification*".
 1. Validating age is required for all WIOA Title I programs and for the State EcSA program.
 - iii. When uploading Selective Service verification, title the document, "*SS verification*". Or if adding the participant's initials, "*KD-SS verification*".
 1. Selective Service is not applicable to the State EcSA program.
 - iv. Basic Skills Deficiency (BSD) source documentation:

1. BSD may be established via staff observation and recorded in case notes, or through the uploading of school records, or via [NRS-approved assessment results](#). See WorkForce Central's WIOA Title I Program Eligibility, Enrollment & Documentation Policy Handbook located on WorkForce Central's [Policy Library](#) for full list of acceptable documents and case note requirements.
 - a. Title the case note and/or uploaded documents "BSD".
- v. English Language Learner (ELL) source documentation other than self-attestation via a completed and signed WIOA program application:
 1. Case notes, see WorkForce Central's WIOA Title I Program Eligibility, Enrollment & Documentation Policy Handbook located on WorkForce Central's [Policy Library](#) for full list of acceptable documents and case note requirements.
 - a. Title the case notes and/or documents "ELL".
 2. Assessment test results (see ESD Policy 1011, current revision, for acceptable ESL tests).
 - a. Title the document, "ELL-Assessment".
- vi. Income verification:
 1. Applicable to:
 - a. WIOA Title I OSY categories 3 and 9
 - b. WIOA Title I Adult and Fed EcSA, Priorities 1 and 2
 - c. State EcSA
 2. SNAP benefit documentation in the participant's name: Title the document, "SNAP".
 3. TANF benefit documentation in the participant's name: Title the document, "TANF".
 4. U.W. Self-Sufficiency calculator, applicable to State EcSA, Fed EcSA and WIOA Title I Adult, Priority 4.
 - a. State and Fed EcSA: Instructions for recording results of the U.W. Self Sufficiency Calculator are detailed in WorkForce Central's State EcSA Program Policy, Attachment A, posted to WorkForce Central's [Policy Library](#).
 - b. WIOA Title I Adult, Priority 4: Results of the U.W. Self-Sufficiency Calculator demonstrating the participant lacks income to meet their basic needs or be self-sufficient can be recorded in case notes recorded in WA Works
- vii. Dislocated Worker Eligibility Only:
 1. When uploading Dislocated Worker program eligibility source documentation, title the document what it is such as, "Notice of Layoff", "Verification from Employer", "DD-214", Spouse PCS Orders", etc.
- viii. All other eligibility and demographic criteria:
 1. Follow the above naming convention protocols for all other eligibility and demographic criteria not specified in this policy.

III. A completed and signed paper or online program application:

a. Paper program application:

- i. Upload the complete, signed, and dated program application in WA Works.
- ii. Title the application, “WIOA Application” or “State EcSA Application”, etc.
- iii. If co-enrolling a participant into both a WIOA Title I program and the State EcSA program at the same time, service providers may utilize the WIOA Title I paper application but must document in the program enrollment case note in WA Works how the participant meets State EcSA program eligibility and whether the participant is above or below 200% FPL. If service providers select this option, they must document the waiving of the State EcSA program application in the enrollment case note recorded in the WIOA Eligibility Application touchpoint.

b. WA Works WIOA Title I program application:

- i. Not applicable to State EcSA unless co-enrolling into a WIOA Title I program.
- ii. If you are not using a paper WIOA application, ensure the online or WA Works WIOA Title I program application is completed in its entirety and the participant signs the WaWorks Self-Attest Form.

IV. Pierce County Residency: Pierce County residents receive priority for enrollment into WorkForce Central’s programs. Non-Pierce County residents may be enrolled on a case-by-case basis only if approved by the WorkForce Central contract manager or designee, unless the individual is stationed at JBLM, in which case they are automatically considered a Pierce County resident. Enrollment of non-Pierce County residents will require WorkForce Central’s coordination with the Workforce Development Board (WDB) of residency. WorkForce Central approval must be documented in the eligibility/program enrollment case note. Title the case note “Enrollment”.

a. Source documentation:

- i. Self-attestation via completed program paper application or WaWorks Self-Attest Form

V. Eligible to Work in the U.S.: Participation in WIOA Title I, State EcSA, Fed EcSA and CRP programs are available only to those who are eligible to work in the U.S.

- a. In WA Works, select the *Work Authorization Verification* button.
- b. Every drop down menu option must be answered.
- c. Upload required Source Documentation-required at program enrollment:
 - i. [I-9 documentation](#)

VI. Selective Service Registration:

- a. Not applicable for State EcSA and CRP.
- b. WIOA Title I and Fed EcSA programs only: Individuals born male on or after January 1, 1960, must provide documentation showing compliance with the [Selective Service registration requirements](#) (or exception to the requirement when

- applicable) prior to WIOA Title I or Fed EcSA program enrollment.
- c. Upload any one of the following documents. Title the document “*SS verification*”:
 - Selective Service acknowledgement letter.
 - DD form 214 “Report of Separation”.
 - Screen printout of the [Selective Service Verification site](#).
 - Selective Service registration card.
 - Selective Service verification form (Form 3A)
 - Stamped post office receipt of registration.
 - Exception to Selective Service registration, when applicable.
 - d. If a participant who meets the Selective Service registration criteria turns age 18 after program enrollment:
 - i. Upload the Selective Service registration verification in WA Works.
 - ii. Record a case note indicating Selective Service registration has occurred and the Selective Service registration verification is uploaded to WA Works.

VII. Authorization to Share Confidential Information and Records Form:

- a. Individuals seeking WIOA Title I, Fed EcSA, State EcSA, and/or CRP program services must be provided the *Authorization to Share Confidential Information and Records Form*. By signing this form, individuals are attesting they have read and understand how their information will be shared and protected among the WorkSource Pierce partnership.
- b. Upload the signed Authorization to Share Confidential Information and Records Form into WA Works.
- c. Title the document, “*Auth. To Share Form*”.

VIII. Participant Information Form (WIOA Title I, Fed EcSA) or Washington State Freedom from Discrimination-Declaration of Civil Rights Form (State EcSA):

- a. Individuals must be provided the opportunity to sign a statement acknowledging they understand their Equal Opportunity (EO) and non-discrimination rights and that they have received the EO Notice. The EO Notice is incorporated in WorkForce Central’s *Participant Information Form* for WIOA Title I and Fed EcSA programs and in the *WA State Freedom from Discrimination-Declaration of Civil Rights Form* for State EcSA programs.
- b. Upload the applicable signed form into WA Works.
- c. Title the form, “*Part. Info. Form and EO Notice*” for WIOA Title I and Fed EcSA program enrollments and “*WA Civil Rights Form-EO Notice*” for State EcSA.
 - i. Note: If an individual is enrolled in a WIOA Title I or Fed EcSA program and subsequently enrolled in a State EcSA program, the requirement for the WA State Freedom from Discrimination-Declaration of Civil Rights Form is waived due to the participant already signing the WIOA Title I/Fed EcSA Participant Information Form. The waiving of the WA State Freedom from Discrimination-Declaration of Civil Rights Form must be documented in the

Program Enrollment—WIOA Title I Youth/Young Adults

- I. School status at enrollment:
 - a. When uploading source documentation other than self-attestation (i.e., paper or online WIOA applications) to verify school status at program enrollment, such as GED certificate, high school diploma, attendance record, transcripts, etc., upload the source documentation used to verify school status at program enrollment.
 - b. Title the document what it is, such as, “*OSY verification, dropout letter*”.
- II. Exception to Income Requirement (5% Window): Service providers must receive WorkForce Central authorization to enroll young adults into the OSY program who otherwise would have to meet the income eligibility criteria. The request and subsequent WorkForce Central approval to waive the required income eligibility documented in case notes recorded in WA Works.
- III. Objective Assessment (OA):
 - a. To become a participant in the WIOA Title I Youth (Young Adult) program, the young adult must first receive an objective assessment (OA) followed by the development of an individual service strategy (ISS). Per [TEGL 21-16](#), an OA must include a review of the following for the purpose of identifying appropriate services and career pathways:
 - i. Basic skills
 - ii. Occupational skills
 - iii. Prior work history
 - iv. Employability
 - v. Interests
 - vi. Aptitudes
 - vii. Supportive service needs
 - viii. Developmental needs
 - ix. Strengths
 - b. Ensure the date and type of assessment is documented. Examples of “type of assessment” may be information learned about the individual through an interview, or outcomes of formal or informal skill, personality, or interest assessments, or through other means.
 - c. The OA must be documented by completing the Objective Assessment workflow in WA Works. You may enter assessment information directly in the assessment page or you can upload a detailed objective assessment paper form to the assessment page:
 - i. Paper OA:
 1. If using a paper OA, complete the objective assessment workflow and upload the OA.
 2. Title the OA “*Objective Assessment*” or “*OA*”.
 3. If the document is a combined OA and ISS, title the document, “*OA-*

ISS”.

ii. OA in WA Works:

1. If recording an OA in WA Works only, complete the Objective Assessment workflow, selecting WA Works as the assessment recording method. Ensure all required elements are assessed.
2. Enter all additional notes into the case note box at the bottom of the page.

iii. Example OA-ISS 6-1-26:

1. **Basic Skills:** *John’s most recent report card reflected A’s and B’s in most courses, but a failing grade in Literature. He stated he doesn’t enjoy writing. Services planned (ISS): We will schedule a future meeting and develop a plan to address his writing challenges.*
2. **Occupational Skills:** *John reported not having much knowledge or skills for a specific occupation. He did, however, express an interest in learning skills necessary for employment in the construction trades since he worked alongside his Dad on construction sites on a few occasions. Services Planned (ISS): We will work with John in identifying a training opportunity where he will earn a credential in construction and conduct online research in this industry using these resources (include a list of resources).*
3. **Prior Work Experience:** *John does not have any paid work experience but as mentioned before, he did work alongside his Dad on a few occasions on construction sites performing labor work such as carrying building materials or cleaning worksites. Services Planned (ISS): We will help John identify a WEX and/or employment opportunities where he can build on his current entry level labor experience in construction.*
4. **Employability:** *Services Planned (ISS): Based on ABC assessment and not having much prior exposure to work, John may benefit from XYZ activities/services to improve his understanding of the necessary attributes and soft skills necessary for obtaining and maintaining employment.*
5. **Complete list of example OA-ISS case notes:** [Link to Example OA-ISS case notes](#)

- d. OAs are an ongoing process, continually reviewing the young adult’s interests, abilities, needs, etc. throughout the duration of their participation in the WIOA Title I Youth (Young Adult) program. Record a new case note every time an assessment is conducted and title the case note “OA Case Note (Date)”.

IV. Individual Service Strategy (ISS):

- a. The results of the OA are documented in the individualized service strategy.
- b. If recording in WA Works only, complete the Individualized Service Strategy workflow, selecting WA Works as the assessment recording method. Ensure all required elements are assessed.

- c. Enter all additional notes into the case note box at the bottom of the page.
 - i. Paper ISS:
 - 1. If using a paper ISS, upload the document into the Individualized Service Strategy workflow in WA Works.
 - 2. Select *Document Upload* as the recording method.
 - 3. Title the document “ISS”.
 - 4. If the document is a combined OA and ISS, as in the examples above, title the document “OA-ISS”. The document will need to be uploaded to both the OA and ISS workflows.
- d. Quarterly ISS Review:
 - i. In addition to updating the ISS on an ongoing basis to reflect real-time services and/or changes to the service strategy, the service provider must formally review the ISS with the young adult on a quarterly basis and update the ISS accordingly at that time.
 - ii. As with all changes to the ISS, the outcome of the quarterly ISS review must also be recorded in the ISS workflow.
 - iii. Title the updated paper ISS or case note “ISS Quarterly Review (Date)”.

Program Enrollment-WIOA Title I & Fed EcSA Adult Programs

- I. Priority of Service:
 - a. Not applicable to State EcSA. However, if co-enrolling a State EcSA participant into the WIOA Title I or Fed EcSA Adult program, the following does apply.
 - b. For WIOA Title I Adult program and Fed EcSA, document the Priority of Service category on both the WIOA Title I Adult/Fed EcSA paper/online application and in the program enrollment case note.
 - i. Priority of Service categories 1 and 2:
 - 1. Priority 1 only: If the participant is a veteran or eligible spouse:
 - a. Upload a DD-214, letter from the Veteran’s Administration, or other applicable documentation to the Source Documentation page in the enrollment workflow.
 - b. Title the document, “*Veteran (or Eligible Spouse) Verification*”.
 - c. Document the participant’s veteran or eligible spouse status in the enrollment case note.
 - 2. Priority 1 and 2:
 - a. If the participant meets WIOA’s income guidelines, upload any one of the following:
 - i. Signed and dated WIOA Title I Adult/Fed EcSA application
 - ii. SNAP benefit documentation in the participant’s name. Title the document, “SNAP”.
 - iii. TANF benefit documentation in the participant’s

- name. Title the document, *"TANF"*.
 - iv. All other income verification: Title the document *"Income Verification"*.
 - b. If the participant is basic skills deficient, open a Basic Skills Assessment workflow. Complete all fields and drop-down menus, then upload the applicable NRS-approved assessment for determining BSD and title the document, *"BSD Assessment"* or record BSD scores in the program enrollment case notes.
 - ii. Priority of Service Category 3:
 - 1. If the participant is a veteran or eligible spouse:
 - a. Upload a DD-214, letter from the Veteran's Administration, or other applicable documentation to the Source Documentation page in the enrollment workflow.
 - i. Title the document, *"Veteran (or Eligible Spouse) Verification"*.
 - b. Document the participant's veteran or eligible spouse status in the program enrollment case note.
 - iii. Priority of Service Category 4:
 - 1. Describe in the program enrollment case note the circumstances that contribute to the participant earning insufficient income to meet their basic needs and results of the U.W. Self-Sufficiency Calculator.
 - 2. Upload the results of the U.W. Self-Sufficiency Calculator in WA Works and title it, *"Self-Sufficiency Calculator"*.

Program Enrollment- Adult & Dislocated Worker-All programs

- I. Employment status at program enrollment:
 - a. Data validation not required for State EcSA.
 - b. Employment status at the time of WIOA Title I Adult/Fed EcSA or Dislocated Worker program enrollment can be documented via a completed paper WIOA Application uploaded in WA Works, or in the program enrollment case note.
 - c. At a minimum, the individual's employment status must be documented in the program enrollment case notes.
- II. Veteran (or eligible spouse) status at program enrollment, if applicable:
 - a. Data validation not required for State EcSA.
 - b. Upload a DD-214, letter from the Veteran's Administration, or other applicable documentation to the Source Documentation page of the enrollment workflow.
 - c. Title the document, *"Veteran (or Eligible Spouse) Verification"*.
 - d. Document the participant's veteran or eligible spouse status in the enrollment case note.

III. Comprehensive Assessment:

- a. Applicable to all programs.
- b. The comprehensive assessment, including self-sufficiency determination, may be documented in paper format or entered as case notes, either in the Assessment workflow or as part of the employment plan in the Employment Plan workflow.
 - i. Paper assessment:
 - 1. If using a paper assessment, upload the document into the Assessment or Employment Plan workflow.
 - 2. Title the document, *"Assessment, Self-Sufficiency"*.
 - ii. Assessment in case notes:
 - 1. If recording the assessment in the Assessment workflow only, complete all applicable assessment criteria questions, or provide a brief summary of the:
 - a. Outcome of the assessment, and
 - b. The individual's self-sufficiency needs.

IV. Individual Employment Plan (IEP):

- a. Applicable to all programs.
- b. WIOA/Fed EcSA IEP: The IEP may be documented in a paper format uploaded into WA Works or recorded in the Create Employment Plan workflow along with the assessment results as noted above.
 - i. Paper IEP:
 - 1. If using a paper format, upload the document into the Create Employment Plan workflow.
 - 2. Title the document, *"IEP"*.
 - 3. As services occur, or as service strategies change, record the activity, the outcome of the activity, reason for the changes to the service strategy, new planned services, etc. in the Create Employment Plan workflow case notes or an updated paper IEP.
 - 4. Upload the updated IEP. Include the date the update was made in the file title to differentiate the update from the original IEP.
 - ii. IEP in WA Works:
 - 1. If recording the IEP in WA Works only, provide a brief summary of the service strategy resulting from the first assessment in the areas provided. Ensure that all fields and drop-downs are answered.
 - 2. Title the case notes, *"OA-IEP Case Notes"*.
 - 3. As services occur, or as service strategies change, record the activity, the outcome of the activity, reason for the changes to the service strategy, new planned services, etc. in the IEP workflow case notes.
 - 4. Title the case notes, *"IEP Case Notes (Date)"*.
- c. State EcSA program enrollment
 - i. State EcSA program enrollment requires the completion of an individual employment plan that must include development of a career plan and results of the UW Self-Sufficiency Calculator and recorded in WA Works in

- the IEP workflow.
- ii. The career plan must include specific State EcSA elements of the State EcSA program enrollment including how the results of the UW Self-Sufficiency Calculator support the customer's State EcSA career plan.
- iii. When applicable, the IEP must include the goals and amounts established to earn CRP Incentives.
- iv. If an IEP has already been developed as a result of prior enrollment in the WIOA Title I Adult or Dislocated program, the IEP from the previous program may be used, but must be updated with the data from the UW Self-Sufficiency Calculator and an explanation as to how the State EcSA program will be used to help the State EcSA recipient reach self-sufficiency.
- d. Quarterly IEP Review:
 - i. In addition to updating the IEP on an ongoing basis to reflect real-time services and/or changes to the service strategy, the service provider must formally review the IEP with the participant on a quarterly basis and update the IEP accordingly at that time.
 - ii. As with all changes to the IEP, the outcome of the quarterly IEP review must also be recorded in case notes.
 - iii. Title the updated paper IEP or case note *"IEP Quarterly Review (Date)"*.

Program Enrollment-National Dislocated Worker Grants (NDWGs):

- I. Enrollment: Enrollment for NDWGs follows similar guidelines for WIOA Title I Dislocated Worker programs but each NDWG may have unique eligibility criteria.
- II. Social Security Cards:
 - a. Current Federal guidance requires social security cards be uploaded into WA Works for participants enrolled in National Dislocated Worker Grants (NDWGs). Social Security cards are not required to be uploaded in WA Works for any other WIOA Title I program.
 - b. Upload the Social Security Card along with the completed program application and other NDWG eligibility documentation (based on each grant) in WA Works and title the document, *"SS card"*.
- III. Follow all other Dislocated Worker program enrollment steps described above for NDWG enrollments.

Program Enrollment-All WIOA Title I Programs, State EcSA, Federal EcSA, and CRP

- I. Date and type of first qualifying service that triggers participation:
 - a. WIOA Title I/Fed EcSA: Record the applicable qualifying WIOA Title I/Fed EcSA

service into WA Works that triggers the individual's participation for DOL performance purposes.

- b. State EcSA/CRP: Likewise, record the first qualifying State EcSA/CRP service that triggers State EcSA/CRP program enrollment in WA Works.
- c. The program enrollment date must be the same date as the first qualifying service that triggers participation.
- d. Record a case note in the applicable service workflow describing the service provided, expected outcomes of the service, and next steps in the service delivery plan.
- e. State EcSA, Fed EcSA and CRP services:
 - i. CRP Services are only eligible for individuals enrolled in State EcSA or Fed EcSA. Therefore, State EcSA or Fed EcSA enrollment must occur prior to the issuance of CRP incentives.

II. Eligibility/Program enrollment case note:

- a. At a minimum, the following must be recorded in a case note titled, "Enrollment":
 - i. Date of enrollment and program name
 - ii. Reason for the individual's enrollment into the WIOA Title I, State EcSA, or Fed EcSA program, including how the individual meets the WIOA Title I, State EcSA, or Fed EcSA program eligibility.
 - iii. Adult Only: Priority of Service category.
 - iv. The individual's current education and employment status.
 - v. The individual's education and employment goals.
 - vi. Summary of planned services.
 - 1. Adult and Dislocated Worker programs: Staff may record further detailed planned services in the Development of IEP service.
 - 2. Young Adult program only: Notification of follow-up services available to the participant following completion of their program.

III. Co-enrollment in WIOA Title I and other Programs, including State EcSA or Fed EcSA:

- a. Ensure the participant meets the program specific eligibility criteria for each program of enrollment.
- b. Follow WA Works enrollment requirements for each program of enrollment.
- c. When required, first obtain WorkForce Central contract manager approval for co-enrollment.
- d. Record the justification for the co-enrollment in the "Enrollment" case note including how the co-enrollment will assist the participant with achieving their training and/or employment goals, the coordination between the programs, and WorkForce Central's approval for co-enrollment (for WIOA Title I program co-enrollments only).
- e. Co-enrolling in WIOA Title I and State EcSA, and/or Fed EcSA:
 - i. As noted above, if co-enrolling a participant into a WIOA Title I program and the State EcSA and/or Fed EcSA program, service providers may utilize the WIOA Title I application but must include the State EcSA program eligibility of above or below 200% FPL. If service providers select this option, they must document the waiving of the State EcSA program

application in the standalone “Enrollment” case note.

- ii. If co-enrolling a current WIOA Title I participant into State EcSA following WIOA Title program enrollment, all of the State EcSA enrollment documents are waived, except for the UW Self-Sufficiency calculator results. Service providers must document in the program enrollment case notes recorded in WA Works the waiving of the State EcSA program enrollment documents and confirmation the participant meets the State EcSA program eligibility requirements at the time of the State EcSA program enrollment.

Validating Services and Service Outcomes

Services provided to WIOA Title I, State EcSA, and Fed EcSA enrolled participants must align with their unique individual employment and training goals as documented on their WIOA Title I individual service strategy (WIOA Title I Young Adults), WIOA Title I individual employment plan (WIOA Title I Adult and Dislocated Workers), and/or State EcSA or Fed EcSA individual employment plan. ISSs and IEPs, either in paper format uploaded into WA Works or recorded in case notes, must be updated as services are provided, as outcomes are attained, or as service delivery strategies change.

Every qualifying service provided to the participant, and the outcome of the service must be recorded in WA Works and documented in case notes. Dates of services recorded in WA Works must reflect the actual date the participant received the service. Case notes and supporting documentation must corroborate the services and service outcomes recorded in WA Works.

Case Management: Providing case management such as answering questions or confirming information with a participant and absent the provision of any service as defined in WA Works, does not equate to a service and a service must not be recorded. Only services with two-way engagement and that meet the service definitions in WA Works must be recorded.

When applicable, source documentation used to validate the provision of a service received by a participant and the outcome of that service must be uploaded into the applicable service in WA Works. Source documentation for WIOA Title I and Fed EcSA services are located in [TEGL 23-19, Change 3, Attachment II](#) and ESD Policy 1003, current revision, Attachment B. Source documentation for State EcSA services are located in WorkForce Central’s State EcSA-CRP Incentives Program Policy located at WorkForce Central’s [Policy Library](#).

There is no source documentation requirement for CRP incentives. Instead, CRP incentive payments must be recorded in WA Works as a Support Service, Type of Service is “*CRF Funded – Financial Assistance*”, with a case note articulating which goal(s) the participant achieved as documented on their IEP. Case note must also include the month the incentive is being paid, the goals achieved and the total dollar amount of the monthly incentive. If the goal requires proof of completion, record in case notes the type of documentation reviewed and the case manager’s

approval.

For the WIOA Title I Youth (Young Adult) program only, DOL requires service providers to report a youth program service regardless of the organization providing or funding the service to the young adult. If a young adult receives WIOA Title I Youth (Young Adult) program services from another WIOA Title I service provider, or non-WIOA community-based agency, or another entity, the service provider must record these services in WA Works in the same way as they would if the service provider directly delivered the WIOA Title I Youth (Young Adult) service. Documentation requirements for services not directly provided by the WIOA Title I Youth (Young Adult) program are limited to what the service provider knows about the service and through source documentation provided by the participant.

Not all services provided to participants will require source documentation to be uploaded into WA Works. In many instances, an appropriately documented case note will sufficiently validate the delivery and outcome of the service. However, source documentation for the services and performance outcomes described in this policy handbook must be uploaded in the applicable service recorded in WA Works and in the sequence provided.

The Department of Labor, WA State ESD, and WorkForce Central will monitor WA Works records to ensure compliance with TEGL 23-19 (current edition), ESD Policy 1003 (current revision), State Policies 7000, 7005, 7010 (current revision), WorkForce Central State EcSA policies, and this policy to ensure the appropriate source documents are uploaded into WA Works, the accuracy and timeliness of services and service outcomes recorded in WA Works, and case notes support the data recorded in WA Works.

The following pages provide specific direction for the recording and uploading of documents and case notes to support the provision WIOA Title I, State EcSA, Fed EcSA, and CRP services.

WIOA Title I Youth Services:

- Tutoring, Study Skills Instruction & Dropout Prevention Services (Youth Only)
- Alternative Secondary School Services or Dropout Prevention Services (Youth Only)
- Education Offered Concurrently with Workforce Preparation & Training (Youth Only)

Service Verification

Upload and record any of the following source documents into the applicable service recorded in WA Works to validate the delivery of these services. Title the uploaded document and/or case notes, *“Service Verification”*:

- Activity sheets
- Sign-in sheets
- Attendance record
- Vendor contract
- WIOA status forms or case notes noting receipt of the service and type of service received.

Case notes

For durational services, case notes must be recorded in the applicable service at the beginning, during, and conclusion of the service and include the following details:

- I. At the start of the service, document the following and title the case note, *“Service Start”*:
 - a. How the service aligns with the young adult’s employment and training goals.
 - b. Where the service is being provided.
 - c. Anticipated duration and outcome of the service.
 - d. Actual start date of the service.
- II. During the service, document the following and title the case notes, *“Service Update”*:
 - a. The young adult’s progress during the service including challenges and accomplishments to-date, **including MSGs** if applicable.
 - b. If challenges occur, document steps taken or services provided to help the young adult overcome the challenges to ensure successful completion of the service.
- III. At the conclusion of the service, record the following and title the case notes, *“Service Conclusion”*:
 - a. Outcome of the service, **including credentials earned**, if applicable.
 - b. Next steps in the service delivery strategy.

Measurable Skill Gain (MSG) and Credentials Earned-WIOA Title I services only

- See [Recording Measurable Skill Gain \(MSG\) and Credentials in WA Works](#).

WIOA Title I & Fed EcSA Work Experience:

- Paid Work Experience (WEX)
- Job Shadow (Youth Only)
- Transitional Jobs (Adult, Dislocated Worker Only)

State EcSA Work Experience:

- State-Funded Work/Internship Experience (WEX)
- State-Funded Transitional Jobs

Service Verification

Upload and record both of the following source documents into the applicable WEX service recorded in WA Works to validate the delivery of the service. Title the document and case notes, *“WEX (or “Job Shadow” or “Transitional Job) Verification”*.

- Case notes
- Signed WEX/Job Shadow/Transitional Job agreement

Case Notes

For durational services, case notes must be recorded in the applicable service at the beginning, during, and conclusion of the service and include the following details:

- I. At the start of the WEX/Job Shadow/Transitional Job, document the following and title the case note, *“WEX (or Job Shadow/Transitional Job) Start”*.
 - a. How the WEX, Job Shadow, or Transitional Job placement aligns with the participant’s employment and training goals.
 - b. Employer name and location of the WEX, Job Shadow, or Transitional Job.
 - c. Anticipated duration and outcome of the activity.
 - d. Summary of the job duties (not applicable for Job Shadows).
 - e. The supportive service needs of the intern for successful participation and completion of the activity (required for Transitional Jobs, as needed for WEX and Job Shadow).
 - f. Transitional Jobs only:
 - i. Description of how the participant meets the “systemic barriers to employment” eligibility criteria, including those who are chronically unemployed or have inconsistent work history.
 - ii. Description of the required comprehensive career and supportive services to be provided as part of the Transitional Job placement.
 - g. Actual start date of the WEX, Job Shadow, or Transitional Job placement.
- II. During the service, document the following and title the case note, *“WEX (or Job Shadow or Transitional Job) Update”*:

- a. Not applicable for Job Shadows.
 - b. Progress of the learning plan during the WEX or Transitional Job placement.
 - c. If challenges have occurred, document the steps taken or services provided to help the participant overcome the challenges to ensure successful completion of the activity.
 - d. **Monitoring:**
 - i. Not applicable for WIOA Title I Job Shadows.
 - ii. **The service provider is required to conduct monitoring of the WEX or Transitional Job** to ensure the participant is receiving the planned training and to address issues as they arise. Monitoring may include onsite visits and phone or email communications with the Host Site and intern.
 - iii. Outcomes of the ongoing monitoring must be recorded in case notes.
 - e. Pay dates:
 - i. Not applicable for WIOA Title I Job Shadows.
 - ii. Record pay dates in case notes.
- III. At the conclusion of the WEX, Job Shadow, or Transitional Job, record the following and title the case note, *“WEX (or Job Shadow or Transitional Job) Conclusion”*:
- a. Outcome of the service.
 - b. Actual end date of the service, including the last paid workday.
 - c. Next steps in the service delivery strategy.

Required WEX/Job Shadow/Transitional Job Documentation

Upload the following documents into the applicable WEX/Job Shadow/Transitional Job service recorded in WA Works:

- I. Youth Only:
 - a. For minors ages 17 and younger, a completed parent/school or summer authorization form.
 - b. Title the document, *“Minor Authorization Form”*.
- II. WEX/Job Shadow/Transitional Job Host Site and Intern contracts, including modifications and learning plans:
 - a. The WEX Host Site (completed by WFC’s Business Solutions) and Intern contracts must be signed by all parties.
 - b. Title the contracts:
 - i. *“WEX Host Site Agreement”*
 - ii. *“WEX Intern (or Job Shadow or Transitional Job) Contract, Learning Plan”*
- III. Timecards/time sheets:
 - a. Not applicable for Job Shadows (WIOA Title I Youth Only)
 - b. Timecards/time sheets for each pay period must accurately reflect the hours the intern worked, must be legible, and must be signed by both the intern and the site supervisor.
 - c. Title the documents, *“Timecard (insert pay period)”*, for example, *“Timecard 7/1/23 – 7/15/23”*.
 - d. The collection of signed timecards/time sheets is the preferred method for

validating the hours an intern worked. However, if the collection of timecards/time sheets poses a barrier, an email from the WEX or Transitional Job site supervisor approving the timesheet is acceptable as long as the email:

- i. Identifies the participant,
- ii. Specifies the pay period, and
- iii. Includes the number of hours being approved.
- iv. The email must be uploaded to the applicable WEX/Transitional Job service. Title the email, *"Supervisor verification of timecard (insert pay period)"*.

IV. Paystub/paycheck:

- a. Not applicable for Job Shadows (WIOA Title I Youth Only)
- b. Upload a copy of the paystub, paycheck, or other evidence of WEX earnings.
- c. Title the document *"Paycheck (or Payment) and insert pay date"*. For example, *"Paycheck 7-16-23"*.
- d. If paystub/paychecks aren't available, a payroll/ADP report that includes the WEX participant by name and is included in the monthly invoice packet submitted to WorkForce Central is acceptable. Upload into WA Works is not applicable.

Measurable Skill Gain (MSG) and Credentials:

- MSGs and credentials are not applicable for WIOA Title I paid WEXs, Job Shadows, or Transitional Jobs, and are not applicable to State EcSA or Fed EcSA WEX or Transitional Job services.

Pre-apprenticeship (WIOA Title I Youth Only)

Service Verification

- I. Pre-apprenticeship program with recognized credentials:
 - a. If the youth pre-apprenticeship program includes the attainment of one or more industry recognized credentials, the following two services must be recorded in WA Works:
 - i. Work Experience: Pre-Apprenticeship Program (Youth Only)
 - ii. Occupational Skills Training (Youth Only)
 - b. Both service touchpoints must have the same activity start date and completion date recorded in WA Works.
 - c. See instructions for documenting the Occupational Skills Training (Youth Only) service in the [Occupational Skills Training](#) section of the policy handbook.
- II. Upload or record any of the following source documents into the Work Experience: Pre-Apprenticeship Program (Youth Only) service recorded in WA Works to validate the delivery of the service. Title the document, *“Pre-Apprenticeship Verification”*.
 - a. Case notes
 - b. Activity sheets
 - c. Sign-in sheets
 - d. Attendance records
 - e. Logs or status forms noting receipt of service and combination of services received.
 - f. Copy of enrollment record
 - g. File documentation with notes from program staff
 - h. School records, such as training schedules
 - i. Transcript or report card
 - j. Signed training contract

Case notes

For durational services, case notes must be recorded in the applicable service at the beginning, during, and conclusion of the service and include the following details:

- I. At the start of the service, document the following and title the case notes, *“Pre-apprenticeship Start”*:
 - a. How the pre-apprenticeship aligns with the young adult’s employment and training goals.
 - b. Where the pre-apprenticeship is being provided.
 - c. Learning plan/instruction overview.
 - d. Anticipated duration and outcome of the pre-apprenticeship.
 - e. Actual start date of the pre-apprenticeship.
- II. During the pre-apprenticeship, document the following and title the case note, *“Pre-*

Apprenticeship Update”:

- a. The young adult’s progress in the pre-apprenticeship including challenges and accomplishments to-date, **including MSGs**, if applicable.
 - b. If challenges have occurred, document the steps taken or services provided to help the young adult overcome the challenges to ensure successful completion of the service.
- III. At the conclusion of the pre-apprenticeship, record the following and title the case notes, *“Pre-apprenticeship Conclusion”*:
- a. Outcome of the service, **including credentials earned**, if applicable.
 - b. Actual end date of the pre-apprenticeship.
 - c. Next steps in the service delivery strategy.

Measurable Skill Gain (MSG) and Credentials:

- MSGs and credentials are not applicable for the Paid and Unpaid Work Experience with Academic/Education Component Pre-Apprenticeship Program (WIOA Title I Youth Only).
- However, MSG and credentials are applicable when an occupational skills training is included in the pre-apprenticeship program, and the applicable Occupational Skills Training (Youth Only) service is recorded in WA Works, as noted above. Instructions for recording and uploading the MSG and credentials earned are located in the [Recording Measurable Skills Gains and Credentials](#) section of this policy handbook.

On-the-Job Training (OJT)

Service Verification

Upload or record the one of following documents in the applicable OJT service recorded in WA Works to validate the delivery of this service. Title the uploaded documents or case notes, “*OJT Start*”.

- Case notes
- Activity sheets
- Sign-in sheets
- Attendance record
- Vendor contract/OJT contract
- Logs or status forms/case notes noting receipt of the service and combination of services received.

Case Notes

For durational services, case notes must be recorded in the applicable service at the beginning, during, and conclusion of the service and include the following details:

- I. At the start of the OJT placement, document the following and title the case notes, “*OJT Start*”:
 - a. How the OJT aligns with the participant’s employment and training goals.
 - b. Name and location of the OJT employer.
 - c. Anticipated duration of the OJT.
 - d. Description of the training/skills to be learned.
 - e. If applicable, anticipated supportive services that may be necessary to ensure successful participation and completion of the OJT.
 - f. Actual start date of the OJT.
- II. During the OJT placement, document the following and title the case note, “*OJT Update*”:
 - a. Progress the trainee is making on their OJT learning plan, **including MSGs** if applicable for WIOA Title I reporting only (MSGs are not applicable to State EcSA).
 - b. If challenges have occurred, steps taken or services provided to help the participant overcome the challenges to ensure successful completion of the OJT.
 - c. **Monitoring:**
 - i. **The service provider is required to conduct regular monitoring of the OJT** to ensure the participant is receiving the contracted training and to address issues as they arise. Monitoring may include onsite visits and phone or email communications with the employer and trainee.
 - ii. Outcomes of the ongoing monitoring must be recorded in case notes.
 - d. Pay dates.
- III. At the conclusion of the OJT, record the following and title the case notes, “*OJT Conclusion*”:

- a. Outcome of the OJT, including if the employer retained the trainee on a permanent full-time basis.
- b. Last paid workday.
- c. Next steps in the service delivery strategy.

Required OJT Documentation

The following must be uploaded or documented in case notes in the applicable OJT service recorded in WA Works:

- I. Assessment results identifying an OJT as an appropriate service. (Not applicable to State EcSA OJT)
- II. Updated ISS/IEP (paper or recorded in case notes) documenting the OJT service.
- III. Employer OJT Agreement (completed by WFC Business Solutions). Title the document, *"OJT Employer Agreement"*.
- IV. OJT Contract, including how the reimbursement rate was determined and modifications, signed by all parties.
 - a. Title the original contract *"OJT Contract"* and modifications, *"OJT Mod 1 (or 2, etc.)"*
- V. Learning plan, completed prior to the start of the OJT. Title the learning plan, *"OJT Learning Plan"*.
- VI. Job description and related DOL/O*NET reports (if not already included in the OJT contract) to support the training duration and skills to be learned. Title the document, *"Job Description"*.
- VII. OJT evaluations/trainee progress reports. Title the document, *"OJT Progress Report"*.
- VIII. OJT reimbursement invoice and supporting documentation, including timecards/timesheets or other documentation showing evidence of hours worked, lunch breaks, and pay. Title the document, *"OJT Invoice Packet"*.
 - a. The collection of signed timecards/time sheets is the preferred method for validating the hours an OJT participant worked. However, if the collection of timecards/time sheets poses a barrier, an email from the OJT site supervisor approving the timesheet is acceptable as long as the email:
 - i. Identifies the participant,
 - ii. Specifies the pay period, and
 - iii. Includes the number of hours being approved.
 - iv. The email must be uploaded to the applicable OJT service. Title the email, *"Supervisor verification of timecard (insert pay period)"*.
 - b. Invoice packet must include:
 - i. Clearly documented number of hours the trainee worked each day and the rate of pay for the time period.
 - ii. Copy of the completed training plan showing the evaluation of skill attainment, copies of signed payroll documentation (or email, see above) for the trainee's wages fringe benefits, and copies of supplemental training, if applicable.

- iii. Total OJT reimbursement should not exceed the amount obligated as shown on the OJT contract or modification, if applicable.

Measurable Skill Gain (MSG) and Credentials-WIOA Title I OJTs only, not applicable for State EcSA

- I. Recording MSG:
 - a. Upload one of the following source documents into the Record MSG workflow to validate the MSG:
 - i. Evaluation from the employer or training provider
 - ii. Progress report from the employer documenting the skill gain.
 - b. The document must include the month, date, and year of the MSG.
 - c. Title the document, "OJT MSG".
 - d. See also [Training Milestone/Progress Report](#) for further MSG instructions.
- II. Recording Credentials:
 - a. Not applicable for OJTs

WIOA Title I & Fed EcSA Training:

- Occupational Skills Training (OST)
- Customized Training (Adult and Dislocated Worker Only)

State EcSA Training:

- State-Funded Occupational Skills Training (OST)

Service Verification

Upload or record any of the following source documents into the applicable OST or WIOA Title I Customized Training (WIOA Title I Adult and Dislocated Worker only) service recorded in WA Works to validate the delivery of the service. Title the document or case notes, *“Training Start”*.

- Case notes
- Copy of enrollment record
- School records
- Transcript or report card
- Signed training contract
- ITA

Case Notes

For durational services, case notes must be recorded in the applicable service at the beginning, during, and conclusion of the service and include the following details:

- I. At the start of training, document the following and title the case note, *“Training Start”*:
 - a. How the training aligns with the participant’s employment and training goals.
 - b. Assessment results that demonstrate the participant is unlikely to obtain or retain employment that leads to self-sufficiency (for State EcSA, self-sufficiency is defined as attainment of 100% of the individual’s household income adequacy as established through the UW Self-sufficiency calculator) or wages comparable to or higher than wages from previous employment through career services alone.
 - c. A description of the participant’s skills and qualifications that will contribute to their successful completion of the training program and how this information was obtained.
 - d. WIOA Title I & Fed EcSA only: Training provider’s refund policy, including when a refund will no longer be honored, and attempts to recover WIOA Title I or Fed EcSA training funds if the participant discontinues training. See WorkForce Central’s WIOA Title I ITA policy, located on WorkForce Central’s [Policy Library](#) for additional documentation requirements for recovery of tuition funds.
 - e. Name and location of training provider.
 - f. Anticipated duration and outcome of the training.
 - g. Actual start date of the training.
- II. During the training, document the following and title the case notes *“Training Update”*:

- a. Participant's progress in training including challenges and accomplishments to-date, **including WIOA Title I & Fed EcSA MSGs** if applicable (MSG not applicable to State EcSA).
 - b. If challenges have occurred, document steps taken or services provided to help the participant overcome the challenges to ensure successful completion of the training.
- III. At the conclusion of the training, record the following and title the case notes, *"Training Conclusion"*:
 - a. Training outcome, including WIOA Title I and Fed EcSA **credentials earned**, if applicable (credentials not applicable to State EcSA).
 - i. WIOA Title I and Fed EcSA only: Per [TEN 19-22, Change 1](#), the date on which a training program ends is the last date the participant attended any service provided as part of that training, including the dates of examinations if they were provided as part of the service.
 - b. Next steps in the service delivery strategy.

Required Training Documentation

- I. Upload (or record in case notes when specific documentation isn't required) the following into the applicable Occupational Skills Training or WIOA Title I/Fed EcSA Customized Training service. Documents may be uploaded as a single item or combined in one package.
- II. If uploaded in a single package, title the package, *"OST (or Customized Training) Requirements"* and ensure each required element listed below is clearly identifiable in the package:
 - a. Completed ISS/IEP (paper copy or recorded in case notes) documenting the selected program of study with start date of training.
 - b. Self-Sufficiency:
 - i. Upload documents or record in case notes evidence collected to verify the selected program of study will result in employment that will lead the participant to economic self-sufficiency or wages comparable to or higher than wages from previous employment. For State EcSA, self-sufficiency is determined through the UW Self-Sufficiency Calculator.
 - ii. Title the document, *"Training will lead to self-sufficiency"*.
 - c. In-demand occupation:
 - i. Upload evidence collected that verifies the selected training program is directly linked to an in-demand industry sector or occupation, or sectors that have a high potential of sustained demand or growth in the local area, or in an area which the participant is willing to travel or relocated (e.g., Demand-Decline list).
 - ii. If applicable, document in case notes the participant's willingness and ability to travel or relocate to locations outside of Pierce County if the selected training program and/or demand occupation is outside of Pierce County. Title the case note, *"Willing to travel/relocate outside PC"*.

- d. Non-WIOA Title I Financial Resources:
 - i. Not applicable for State EcSA.
 - ii. When no other financial resources are available to pay for the participant's training, or current non-WIOA/non-Fed EcSA grant funding is insufficient to cover the participant's cost of training, upload evidence such as financial aid award/denial letter or other documentation or record the reason in case notes. Title the document and case notes, "*No other financial available*".
 - iii. When other non-WIOA/non-Fed EcSA financial assistance is available, such as Pell grant or other, upload copies of the award letters or relevant documents, or record the non-WIOA/non-Fed EcSA award in case notes. Title the document and case notes, "*FAFSA/Other Financial Assistance*".
- e. Eligible Training Provider:
 - i. Not required for cohort or customized training.
 - ii. Upload a copy of the Eligible Training Provider List (ETPL) showing the training program is on the ETPL.
 - iii. State EcSA funded training must be on the ETPL but WorkForce Central does not require this to be uploaded in WA Works for State EcSA participants. Instead, ETPL may be documented in case notes for State EcSA participants.
 - iv. Title the document, "*ETPL*".
- f. Training Authorization:
 - i. Not applicable for State EcSA.
 - ii. Not applicable for WIOA Title I or Fed EcSA customized training or cohorts.
 - 1. When training is paid through a contract funded directly by WorkForce Central (e.g., cohorts and customized training), document in case notes the training is funded via a contract paid directly by WorkForce Central to the training provider, and the service provider is not paying the costs of tuition or any other expenses the WorkForce Central contract is covering via an ITA.
 - 2. Specify in case notes what the service provider is paying for, when applicable.
 - 3. Title the case notes, "*Cohort (or Customized) Training*".
 - iii. ITAs (WIOA Title I and Fed EcSA OSY, Adult and Dislocated Workers):
 - 1. Not applicable to State EcSA.
 - 2. Upload the ITA authorization and any approved increase or ITA modification.
 - 3. Title the document, "*ITA*" or "*ITA Mod*".
- g. Date enrolled in training and Date entered training: Per TEN 19-22, Change 1, the training enrollment date and the date entered training are both the first day a participant attends a training program (either virtually or in person) that leads to a recognized post-secondary education credential for a WIOA Title I and Fed EcSA training.

- i. Date enrolled/started training:
 1. Applicable for State EcSA.
 2. Record the date the participant started training in the applicable training service in WA Works.
 3. Document the training enrollment and start date in case notes recorded in the applicable training service. The training start date recorded in case notes must align with the training start date recorded in WA Works and accompanying back-up documents.
 - a. If the participant was already enrolled in education or training at the time of their WIOA Title I and/or Fed EcSA program enrollment, the start date of training recorded in WA Works is the date of their WIOA Title I and/or Fed EcSA program enrollment. This includes but is not limited to participation in Job Corps, YouthBuild, or Adult education or secondary education programs.
 4. In addition to recording case notes documenting the training enrollment and start date, one of the following documents may be uploaded in the applicable training service to validate the training enrollment date. Title the document, *“Training Enrollment/Start Date”*:
 - a. Individual Training Account (ITA)
 - b. Vendor Training Records
 - c. Attendance Sheets or Records
 - d. School records or verification of enrollment
 - e. Transcript or report card

Measurable Skills Gani (MSG) and Credentials Earned-WIOA Title I only, not applicable to State EcSA

- See [Recording Measurable Skill Gain \(MSG\) and Credentials](#)

Incumbent Worker Training (WFC Business Solutions Only)

WorkForce Central's Business Solutions "Employee Training Grant Program"

The following must be recorded in WA Works for employees receiving incumbent worker training through WorkForce Central's WIOA Title I, Fed EcSA, or State EcSA Community Reinvestment Program (CRP) funds:

- I. Locate the business's WA Works account.
- II. Open the *Create IWT* workflow.
 - a. Complete all fields and drop-downs.
 - b. Select *Register Incumbent Workers*.
- III. Event Enrollment:
 - a. Locate and select a current job seeker within WA Works.
 - b. Create new contacts through the event enrollment workflow.
 - c. Then select *complete registration*.
- IV. Validate status of the event on the Event page
- V. Begin Incumbent Worker Training and verify you'd like to activate the event.
- VI. When training is completed, Complete the IWT from the business account page.
 - a. Select appropriate status and click *Complete IWT*
- VII. Enter any **credentials or MSG earned** in the credential or MSG workflow.

Supportive Services

Service Verification

- I. Record the applicable supportive service in WA Works.
- II. For the WIOA Title I and Fed EcSA Adult and Dislocated Worker programs only: Supportive services do not extend participation for individuals enrolled in the Adult and Dislocated Worker program.
 - a. To prevent auto exiting from the program, a qualifying service that extends participation must be recorded in addition to the supportive service. Therefore, when providing supportive services to participants enrolled in the WIOA Title I and/or Fed EcSA Adult or Dislocated Worker programs, service providers must also provide the participant with a career and/or training service and record this service in WA Works to accompany the supportive service.
 - b. It is recommended a case note be recorded explaining how the accompanying career and/or training service connects to the supportive service recorded in WA Works.

Case notes:

For all WIOA Title I, Fed EcSA and State EcSA programs, a case note must be recorded for each supportive service provided to participants. The case note must be recorded in the applicable supportive service. The case note must include:

- I. The justification for the supportive service, including an explanation for how the supportive service is necessary for the participant to complete their training and employment plan.
- II. When applicable, attempts to first acquire the requested supportive service from community organizations who are known to provide the service, outcomes of referrals through CRS, or exemption from the referral requirement.
- III. A summary of what is being purchased. For example, “interview clothes”, “bus pass”, hygiene items”.
- IV. Vendor.
- V. The anticipated amount of the supportive service followed by the exact amount paid for the purchase.
- VI. When applicable, the outcome of the supportive service. Examples include but are not limited to:
 - a. Documenting instances when a request for a supportive service was made but ultimately not purchased.
 - b. If the supportive service was for a test of some kind, such as a driving test, document the outcome of the test. For example, “participant passed their driving test, copy of certificate/driver license is uploaded”).

Required Supportive Service Documentation

Upload (or record in case notes when specific documentation isn't required) the following into the applicable supportive service:

- I. Assessment of need: Record a brief summary of the participant's need for the supportive service in case notes.
 - a. Not applicable for incentives.
- II. Referral to Community Resources:
 - a. Not applicable for incentives.
 - b. When applicable, document in case notes attempts made to access requested supportive services from community organizations that are known to provide the service, outcomes of referrals through CRS, or exemption from the ~~referral~~ requirement.
- III. Supportive Service Authorization:
 - a. Legible documentation of the service provider's authorization for supportive services must be uploaded into the applicable supportive service. The supportive service authorization must include the following:
 - i. Participant's name
 - ii. WA Works ID Number
 - iii. Date of supportive service (or incentive for youth only)
 - iv. Amount of the supportive service request.
 - v. List of items to be purchased.
 - vi. Vendor name
 - vii. Signature of the authorized service provider representative.
 - b. Title the supportive service authorization, "*SS Authorization*".
- IV. Supportive Service Tracking Log:
 - a. An up-to-date and legible supportive service tracking log must be uploaded into the most current supportive service recorded in WA Works. The log must include:
 - i. The date a supportive service was provided to the participant.
 - ii. Items that were purchased.
 - iii. Total cost of the purchase.
 - iv. Vendor name.
 - v. An up-to-date running total of supportive services spent to-date.
 - vi. When applicable, disallowed supportive services must also be tracked on the supportive service log.
 - b. Title the supportive service tracking log, "*SS Tracking Log*".
- V. Receipt, Supporting Documentation:
 - a. Copies of supporting documentation including itemized receipts, must be uploaded in the applicable supportive service recorded in WA Works. Title the document what it is. For example:
 - i. Title a receipt of the purchase, "*Receipt*".
 - ii. For a bus pass, "*Bus pass*".
 - iii. For payment of a utility bill, "*Utility bill payment*".
 - iv. Follow the same naming convention for all other supportive services.

- b. Supporting Documentation-examples: Service providers must collect various forms of documentation to verify supportive serviced expenses are reasonable, allowable, and allocable. Below are examples of supporting documentation for common supportive services. This list is not intended to be all inclusive. Please reach out to WorkForce Central for documentation requirements for supportive services not included here.

i. **WIOA Title I Incentives**:

1. There is no Service for WIOA Title I incentives:
 - a. DOL considers WIOA Title I incentives financial transactions rather than services. Therefore, there is no service in WA Works for the provision of WIOA Title I incentives.
2. Instead, upload applicable incentive documentation to the documents list page in WA Works and record a case note.
 - a. In the identifier field, title the note, *"Incentive"* followed by the program name and the date of the incentive.
 - b. Incentive documentation may include but is not limited to copies of the service provider's receipts showing proof of purchase of the incentive, or copies of gift cards (including the front and back of the gift card and amount). Title the uploaded documents, *"Incentive Docs"*.
3. Case note: The following must be recorded in case notes. Title the case note. *"Incentive"* followed by the program name and the date.
 - a. The program service and milestone achieved, and
 - b. Incentive amount paid for the achievement.
4. Upload an up-to-date incentive tracking log to the documents list page. Title the tracking log, *"Incentive Tracking Log"*. The log must include:
 - a. The date the incentive was provided to the participant.
 - b. The total cost of the incentive.
 - c. A running total of incentives provided to date.
 - d. If applicable, identified disallowed incentive costs must also be tracked on the incentive tracking log.
5. Service providers must maintain appropriate and identifiable expenditure records of incentive payment for the purpose of federal, state, and local monitoring and auditing activities.

- ii. **Transportation assistance**: The need for transportation assistance must be based on a lack of other available and reliable transportation necessary for the individual to successfully participate in employment and training activities and be documented in case notes recorded in WA Works. The following are examples of various forms of transportation assistance and appropriate supporting documentation. This list is not intended to be all inclusive.

1. Bus tickets/bus passes:
 - a. Copy of the front and back of the bus ticket/bus pass.

- b. Itemized receipt of the purchase of the bus ticket/bus pass.
 - c. Proof of payment which may include a screen shot from the transit provider showing the fare price.
- 2. Gas:
 - a. Copy of the participant's valid driver's license.
 - b. Copy of the vehicle registration in the participant's name.
 - c. Copy of the participant's valid and current auto insurance with the individual listed as covered.
 - i. WorkForce Central authorization for exception to the above list must be documented in case notes recorded in WA Works.
 - d. Gas cards must be "gas only", itemized receipt not applicable.
 - i. Requires a copy of front and back of gift card.
 - ii. Gift card must state gas only.
 - iii. If the gift card is not gas only, a copy of all itemized receipts for purchases using the gift card are required.
 - e. For gas purchases made without a gas card, itemized receipt/proof of payment to the vendor.
- 3. Driver license expenses such as driver's education, or acquiring or renewing a driver's license:
 - a. Copy of the certificate of completion for driver's education.
 - b. Copy of the new/renewed driver's license.
 - c. Copy of invoice paid to the vendor.
- 4. Vehicle insurance:
 - a. Copy of the participant's valid driver's license.
 - b. Copy of the vehicle registration in the participant's name.
 - c. Copy of invoice paid to the vendor.
- 5. Vehicle repair:
 - a. Copy of the participant's valid driver's license.
 - b. Copy of the participant's valid and current auto insurance with the participant listed as covered.
 - c. Copy of the vehicle registration in the participant's name.
 - d. Copy of vendor's repair estimate.
 - e. Copy of invoice paid to the vendor.
- iii. **Childcare:** Must be a licensed childcare provider. WIOA Title I and Fed EcSA funded childcare is authorized only for the days/hours when the participant is engaged in WIOA Title I program activities.
 - 1. Childcare provider's W-9
 - 2. Copy of itemized receipt showing dates of childcare provided
 - 3. Proof of payment to the childcare provider.
- iv. **Rental or other housing assistance:** Referrals to housing resources must be facilitated and clearly documented in WA Works case notes. Service

providers, in collaboration with the participant, must develop a financial plan for future rental/housing assistance payments.

1. Justification for the supportive service and the anticipated and actual expenditures recorded in case notes.
 2. A legible copy of the current rental/lease agreement, or mortgage statement in the participant's name, with signatures.
 3. A copy of the landlord's W-9. Not required for State EcSA.
 4. Rental/lease agreement: Only upload the legible pages with the participant's name, rental address, rental amount, rent due dates, and signatures. It is not necessary to upload the entire rental/lease agreement.
 5. Copy of invoice paid to vendor.
- v. **Utilities:** An itemized utility bill in the participant's name must be obtained prior to making a payment.
1. Copy of the itemized utility bill with the current amount owed, in the participant's name and for the residence the participant resides.
 2. Copy of invoice paid to the vendor.
- vi. **Food (i.e., meals, groceries)-WIOA Title I Youth and State EcSA only:** Follow guidelines outlined in WorkForce Central's Supportive Service Policy located on WorkForce Central's [Policy Library](#) for the purchasing of food for eligible WIOA Title I enrolled young adults and WorkForce Central's State EcSA Program Policy for State EcSA enrolled participants. The following documentation must be uploaded into the applicable supportive service in WA Works:
1. Justification for the supportive service and the anticipated and actual expenditures must be recorded in case notes.
 2. Summary of basic food needs. Not applicable for State EcSA.
 3. Action plan (either hard copy or documented in case notes recorded in WA Works) that identifies strategies to address food inadequacies, including community resources, financial plan/budgeting, meal planning, etc. Not applicable for State EcSA.
 4. Copy of itemized receipt.
- vii. **Medical and prescription services:**
1. Proof of payment
- viii. **Reasonable accommodations for individuals with disabilities:**
1. Proof of payment
- ix. **Expenses for out-of-state job search:**
1. Evidence of interview, training, or activity that is not paid by the prospective employer.
 2. Itemized receipt for travel expenses (e.g., airfare, hotel, car rental, etc.)
 3. Proof of payment to vendor(s)
- x. **Expenses for relocation:**

1. Evidence of new job.
 2. Itemized receipt for relocation expenses not paid for by the new employer.
 3. Proof of payment to vendor(s).
- xi. Training related expenses (other than tuition):**
1. Legible syllabus, registration, training enrollment form, or other similar documentation that includes:
 - a. Participant's name.
 - b. Name of school.
 - c. Title of training program/class.
 - d. Time period of instruction.
 - e. The specific items necessary for the student's participation in the specific training program.
 2. Record a case note documenting the provision of training related expenses via supportive services (as opposed to an ITA) as required in ESD Policy 5602 (current revision).
- xii. Gift cards for supportive services other than gas:**
1. Legible itemized copy of the receipt of purchases made with the gift card is required. The receipt must include the date of purchase and amount paid.
 2. If the receipt is lost, the participant and service provider must sign a statement saying the participant received the supportive service and the exact cost included in the statement.

Exceptions

Written WorkForce Central authorization is required for any permissible exception to this policy. Authorized exceptions must be documented in a case note recorded in WA Works.

State EcSA and Fed EcSA Career Accelerator Incentives/CRP

State and/or Fed EcSA participants who are making satisfactory progress on their ESD milestone-based incentive structure as documented on their State/Fed EcSA career plans, are eligible for Department of Commerce Community Reinvestment Program (CRP) incentives through the EcSA Career Accelerator Incentives Fund in the amount of up to \$1000 per month. Complete details are located in WorkForce Central's State EcSA Program & Community Reinvestment Program (CRP) Policy located on WorkForce Central's [Policy Library](#).

Service Verification

- I. State/Fed EcSA participants are eligible for CRP funded incentives in amounts of up to \$1,000 per month.
- II. Incentives are awarded upon completion of specific goals as outlined in ESD's milestone-based incentive structure (provided in ESD Policy 7005 (current version), Attachment B). Each milestone goal must be recorded on the participant's State/Fed EcSA career plan and each achievement must be recorded in WA Works and documented in case notes.
- III. Monthly incentives can be up to \$1000 per month. Total incentive payments per participant must not exceed \$10,000.
- IV. Any gaps in the provision of incentives must be tracked in WA Works with an explanation for the interruption in service documented in standalone case notes.
- V. EcSA recipients are not required to accept incentives and may decline the incentive payments at any time and for any reason. The declination for incentive payments must be documented in case notes recorded in WA Works.
- VI. Every incentive payment provided must be recorded in WA Works by selecting *Supportive Services, CRF Funded – Financial Support*.
- VII. Incentives must be paid by check, direct deposit, or via a prepaid card capable of being used in a manner similar to a debit card. The method of payment must be included in the supportive service recorded in WA Works. Gift cards are not an acceptable form of incentive payment.

Case notes:

Participant's milestone progress and or outcome must be documented in case notes and recorded in WA Works for every incentive provided.

Program Completion

Program Completion Case Note

The following case notes must be recorded in a New Note in WA Works documenting the participant's completion of the WIOA Title I, State EcSA, Fed EcSA or CRP program.

- I. Date of program completion.
 - a. The date of program completion recorded in case notes must be the date of the last qualifying service and match the program completion date recorded in WA Works.
- II. Reason for program completion.
 - a. See below for case note details if exited due to enrollment into postsecondary education (WIOA Title I Youth only), unsubsidized employment, or other reason for program completion.
- III. **WIOA Title I Youth only:** School status at program completion. See details for this case note below.
- IV. Types and duration of planned follow-up services.
 - a. Not applicable to State EcSA.
 - b. If applicable, date and reason the participant opted out of receiving follow-up services.
- V. When applicable, the plan for collecting performance outcomes 2nd and 4th quarter after exit.
 - a. Not applicable to State EcSA.
 - b. If applicable, upload the signed authorization to contact the participant's employer.

WIOA Title I Youth Only:

- **School Status at Program Completion**

- I. Record the following in a Program Completion case note:
 - a. School status at exit, if known.
 - i. If school status at exit is unknown, record the last known school status at the time of program enrollment or any time during program participation.
 - b. [TEGL 23-19, Change 3](#): If applicable, upload any of the following documents to validate the earning of a high school diploma or GED during program participation:
 - i. Copy of HS diploma, credential or other degree awarded by the education institution.
 - ii. Applicable records from education institution (recognized equivalency certificate, transcripts, report card, enrollment record or other school documentation)
 - iii. Signed file documentation with information obtained from education or training provider.

- iv. Case Notes
- v. Self-attestation
- II. **Case Notes:** If the young adult is in secondary or post-secondary education at the time of program completion, record the following in case notes.
 - a. School status at exit.
 - b. Date of enrollment.
 - c. Name of school.
 - d. Training program.
 - e. Anticipated completion date.
 - f. Anticipated credential to be earned.
 - g. Future dates and methods to collect training status and outcomes (including credentials earned) in the 2nd and 4th quarters after exit.

WIOA Title I Youth Only:

- **Exit Due to Post-Secondary Enrollment** (*Positive performance outcome for WIOA Title I Youth only*):

If the youth is exiting the WIOA Title I Youth (Young Adult) program as a result of enrollment in post-secondary education, record the following in a Program Completion case note.

- I. Date of post-secondary enrollment.
- II. Anticipated or actual start date of post-secondary education or training.
- III. Education/training program.
- IV. Name of school.
- V. Anticipated completion date.
- VI. Anticipated credential to be earned.
- VII. Future dates and methods to collect education/training outcomes 2nd and 4th quarters after exit.

All WIOA Title I Programs and Fed EcSA:

- **Exit Due to Unsubsidized Employment** (*Positive performance outcome for all WIOA Title I and Fed EcSA programs*)

Record the following in a Program Completion case note.

- I. Start date of employment
- II. Name of employer
- III. Job title
- IV. Wage
- V. Full- or part-time
- VI. If the employment is on a pathway to meeting the participant's self-sufficiency needs or is comparable to previous employment, when applicable.
- VII. Future dates and methods to collect employment status and wages in the 2nd and 4th quarters after exit.

All WIOA Title I Programs and Fed EcSA:

- **Other Reasons for Exit** (*Participant is excluded from positive performance outcomes*)

If a participant exits the WIOA Title I or Fed EcSA program for any of the following circumstances, they are excluded from WIOA Title I and Fed EcSA performance outcomes. Record the reason for the program exit in a Program Completion case note.

- Incarceration or institutional care
- Medical condition that will prevent participation for more than 90 days.
- Deceased.
- Reserve military or National Guard called to active duty.
- WIOA Title I Youth only: Receiving foster care services and moved out of Pierce County.

State EcSA Program Only:

- In addition to the case notes referenced above, enter the participants annualized wages by multiplying their hourly wage by the planned hours per week multiplied by 52 weeks.

Follow-up Services-WIOA Title I Programs only

Employer Consent Forms

Prior to contacting an employer to verify a participant's employment, the service provider must first obtain a consent form signed by the participant authorizing the provider to contact the participant's employer. The consent form must be uploaded in the participant's WA Works record. Title the document, *"Consent to Contact Employer"*.

Case Notes

On a minimum quarterly basis, and more frequently if appropriate, document the individual's progress/status updates while in follow-up in case notes recorded in WA Works. Title the case note, *"Follow-up Update"*.

Opt-Out

If a participant opts out of receiving follow-up services, the date and reason the participant opted out must be documented in case notes.

Follow-up Services

In the Follow-up Service, record follow-up services at the time the service is provided, including case notes reflecting services provided. Follow the same documentation upload and case note procedures noted throughout this policy.

If providing supportive services during follow-up, upload the appropriate supportive service documentation in the *Follow-Up Services - Support Service* (for WIOA Adult, DW, EcSA) or the *Follow-Up Services – Youth – Support Services (Youth)*.

Recording Measurable Skill Gains (MSG) and Credentials

WIOA Title I and Fed EcSA Programs Only

*Visit [WFC's Contractor SharePoint](#) site for [MSG and Credential resources](#)

Measurable Skill Gains (MSG)

Measurable skill gains (MSG) are defined as documented academic, technical, occupational, or other forms of progress towards a credential or employment. Department of Labor (DOL) through [TEGL 7-18, Change 1, Attachment I](#), requires MSG source documentation to include the **month, date, and year** of the measurable skill gain. The date of an MSG recorded in WA Works is the month/date/year the MSG was earned, not the date the MSG documentation was received, or the date the MSG was recorded in WA Works.

I. Basic Skills Deficiency (BSD)/Educational Functioning Level (EFL)

Participant received instruction below the post-secondary education level and achieved at least one EFL gain as verified by one of the following documents (*source: ESD Policy 1003, current revision, Attachment B-Date of Most Recent Measurable Skill Gain-EFL*). Title the document, "MSG-BSD/EFL":

- a. **Source Documentation (must include month/date/year):**
 - i. Pre- and post-test results measuring EFL gain.
 - ii. Adult High School transcript showing EFL gain through the awarding of credits.
 - iii. Post-secondary education or training enrollment determined through data match, survey documentation, or program notes.
 - iv. Test results of a passing subtest on a State-recognized high school equivalency examination.
- b. **Record MSG in the MSG workflow.**
 - i. Upload a copy of the source documentation used to verify the skill gain.

II. Secondary Diploma/GED

Participant attended secondary education and earned a "C" grade or better on most recent transcript or report card as verified by one of the following source documents (*source: ESD Policy 1003, current revision, Attachment B-Date of Most Recent Measurable Skills Gain-Secondary Transcript/Report Card*). Title the document, "MSG-Secondary".

- a. **Source documentation (must include month/date/year):**
 - i. Transcript
 - ii. Report card
- b. **Record MSG in the MSG workflow.**
 - i. Upload a copy of the source documentation used to verify the skill gain.

III. Post-Secondary Progress

Participant attended post-secondary education and earned a “C” grade or better on the most recent transcript or report card as verified by one of the following source documents (*source ESD Policy 1003, current revision, Attachment B-Date of Most Recent Measurable Skills Gain-Postsecondary Transcript/Report Card*). Title the document, “MSG-Postsecondary”.

- a. **Source documentation (must include month/date/year):**
 - i. Transcript
 - ii. Report card
- b. **Record MSG in the MSG workflow.**
 - i. Upload a copy of the source documentation used to verify the skill gain.

IV. Training Milestone/Progress Report

Participant engaged in an employer training program such as an OJT and received a satisfactory or better progress report towards established milestones as verified by one of the following source documents (*source: ESD Policy 1003, current revision, Attachment B-Date of Most Recent Measurable Skills Gain-Training Milestones*). Title the document, “MSG-OJT (or Apprenticeship)”.

- a. **Source documentation (must include month/date/year):**
 - i. Documentation of a skill gained through OJT or registered apprenticeship
 - ii. Contract and/or evaluation from employer or training provider documenting a skill gain.
 - iii. Progress report from employer documenting skills gain
- b. **Record MSG in the MSG workflow.**
 - i. Upload a copy of the source documentation used to verify the skill gain.

V. Industry Exams or Skills Progression

Participant successfully passed an exam that is required for a particular occupation, or progress in attaining technical or occupational skills as evidenced by trade-related benchmarks such as knowledge-based exams as verified by one of the following source documents (*source: ESD Policy 1003, current revision, Attachment B-Date of Most Recent Measurable Skills Gain-Skills Progression*). Title the document, “MSG, Industry”:

- a. **Source documentation (must include month/date/year):**
 - i. Results of knowledge-based exam or certification of completion
 - ii. Documentation demonstrating progress in attaining technical or occupational skills through an exam or benchmark attainment.
 - iii. Documentation from the training provider or employer.
 - iv. Copy of credential that is required for a particular occupation and earned only after the passage of an exam.
- b. **Record MSG in the MSG workflow.**
 - i. Upload a copy of the source documentation used to verify the skill gain.

Credentials

A recognized post-secondary credential is awarded in recognition of an individual's attainment of measurable technical or industry/occupational skills necessary to obtain employment or advance within an industry/occupation. These technical or industry/occupational skills generally are based on standards developed or endorsed by employers or industry associations.

Department of Labor (DOL) through [TEGL 7-18, Change 1, Attachment I](#), requires credential source documentation to include the **month, date, and year** the credential earned. The date of a credential is recorded in WA Works is the month/date/year the credential was earned, not the date the credential documentation was received, or the date the credential was recorded in WA Works.

A recognized post-secondary credential is defined as a:

- Credential consisting of an industry-recognized certificate or certification
- Certificate of completion of an apprenticeship
- License recognized by the State involved or Federal government
- Associate or baccalaureate degree

I. Source documentation (must contain month, date, and year):

- a. Copy of credential
- b. Copy of school record
- c. Post-follow-up for the purposes of collecting data (self-reported) from program participants
- d. Case notes documenting information obtained from education or training provider

II. Record Credentials in the Credential workflow.

- a. Upload a copy of the source documentation used to verify the skill gain.

Reporting Performance Outcomes 2nd and 4th Quarters After Exit

- WIOA Title I and Fed EcSA Programs Only

WIOA Title I and Fed EcSA service providers must ensure accurate and timely WA Works reporting of the following two (2) performance measures during the 2nd and 4th quarters after a participant is system exited from WA Works.

- I. **Unsubsidized employment** (all WIOA Title I and Fed EcSA programs):
 - a. The percentage of participants who are in unsubsidized employment during the 2nd and 4th quarters after exit.
- II. **Post-secondary education (WIOA Title I Youth only):**
 - a. For the WIOA Title I Youth (Young Adults) program only, this indicator includes young adults who are actively enrolled in education or training activities during the 2nd and 4th quarters after exit.

Participants are not required to provide evidence of continued, uninterrupted employment or training during the entire 12 months after exit. Rather, DOL performance reporting requirements limit the verification of a participant's employment and training status to any time during the 2nd and 4th quarters after exit (WIOA Joint Rule, Departments' responses, page 55841).

Recording Source Documentation in WA Works

- I. **Employment**
 - a. Complete the *Record Employment Placement* workflow on the participant's contact page.
 - b. Use the dropdown menu to indicate if the employment was related to training.
 - c. Upload any of the following source documentation for participants in unsubsidized employment during the 2nd and 4th quarters after exit. Title the document, "*Q2 (or Q4) Employment Verification*":
 - i. Post-exit follow-up for the purposes of collecting employment and wage data (self-reported) from program participants.
 - ii. Copy of one (1) paycheck stub or other evidence of wages
 - iii. Tax records, W-2 form.
 - iv. Quarterly tax payment forms such as an IRS form 941
 - v. Signed letter or other documentation from the employer on official company letterhead attesting to an individuals' employment status and earnings during the reference quarters.
 - vi. Self-employment worksheet signed and attested by the program participant.
 - vii. Income earned from sales commissions or similar positions during the reference quarters.

- viii. Detailed case notes verified by the employer and entered by case managers during the reference quarters.

II. Post-Secondary Education (WIOA Title I Youth only)

This function is still being built in WA Works. Please use this temporary process.

- a. Create a new note and record the following:
 - i. Name of school
 - ii. Program enrolled in, if applicable
 - iii. Estimated start and end dates
 - iv. Expected outcome
 - 1. Degree or Credential to be earned
 - 2. Employment pathway/goal
- b. Upload any of the following source documents for young adults enrolled in post-secondary education during the 2nd and 4th quarters after exit. Title the document, “Q2 (or Q4) Training Verification”.
 - i. Copy of school registration record
 - ii. School records or verification of enrollment
 - iii. Transcript or report card
 - iv. Vendor/training provider documentation
 - v. Case notes

III. Credentials earned 2nd and 4th quarters after exit

- a. **Performance outcome definition:** The percentage of participants enrolled in an education or training program (excluding those in on-the-job training (OJT) and customized training) who obtained a secondary school diploma (or equivalent) or a recognized post-secondary credential during WIOA Title I and/or Fed EcSA program participation or within one (1) year after exit from the WIOA Title I and/or Fed EcSA program.
 - i. **Note for High School Diploma or GED credentials:** A participant who has attained a secondary school diploma or its recognized equivalent is included in the percentage of participants who have “attained a secondary school diploma or its recognized equivalent” only if the participant is also employed or is enrolled in an education or training program leading to a recognized post-secondary credential within one (1) year after exit from the WIOA Title I or Fed EcSA program.
- b. **Reportable Credentials:** This reporting indicator measures two types of credentials, a secondary diploma or its recognized equivalent (*see Note for High School Diploma or GED credentials, above*), or a recognized post-secondary credential. The following are reportable credentials:
 - i. Secondary school diploma or its recognized equivalent
 - ii. AA or AS diploma/degree
 - iii. BA or BS diploma/degree
 - iv. Occupational licensure or certification

- v. Other recognized diploma, degree, or certificate
- vi. Graduate degree programs are excluded from this measure.
- c. **Source documentation (must contain month, date, and year):**
 - i. Complete the *Record Credential* workflow.
 - 1. Upload required documentation.
 - ii. At any time during the 12-months post exit, upload or record in case notes any of the following source documentation:
 - 1. Diplomas, degrees, licenses, certificates
 - 2. Copy of credential
 - 3. Copy of school record
 - 4. Follow-up survey from participants during the reference quarters (defined in TEGL 14-18 as “*signed self-attestation from program participants*”).
 - 5. Case notes documenting information obtained from the education or training provider.