



CITY AND COUNTY OF SAN FRANCISCO  
GAVIN NEWSOM, MAYOR

OFFICE OF ECONOMIC  
AND  
WORKFORCE DEVELOPMENT

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**DIRECTIVE NO:** 05-07  
**TO:** WIA Service Providers  
**EFFECTIVE:** July 1, 2007  
**SUBJECT:** Forms Protocol

**REFERENCES:**

- Training and Employment Guidance Letter (TEGL) No. 7-99
- Workforce Investment Act (WIA) Regulations 20 CFR 652 and 663.105(b)
- OEWD Directive No. 04-07, "Case File Exit Review"

**PURPOSE:**

This directive provides service providers of the Office of Economic and Workforce Development (OEWD) of the City and County of San Francisco with the required documents that must be used for serving youth and adults in WIA programs.

**BACKGROUND:**

In order for OEWD to ensure compliance with the Department of Labor standards for documentation of program services and eligibility of customers, it is establishing a standard format for quality control. A primary factor for this decision is that OEWD's monitoring will only address a random sampling of customer case files on an annual basis and this quality control process is being instituted to prevent findings resulting from State and/or Federal oversight which could result from the selection of customer case files not monitored by OEWD.

The information on these forms has always been mandatory and is referenced in other tools currently in use (e.g. State Directives, State Eligibility Technical Assistance Guide) that describe the movement through the tiered service levels.

**PROCEDURES:**

The One Stop Career Link Centers will certify customers and submit the proper documentation to OEWD to input the information into the Job Training Automation system (JTA). The One Stop Career Link Centers are responsible for ensuring all required documentation is maintained and completed on every client beginning with the point of entry into staff-assisted services. That information is to be captured on the applicable forms identified in this directive.

All forms associated with program delivery can be found at the OEWD website at:

<http://oewd.org/media/docs/WorkforceDevelopment/Directive/0507Forms.zip>

All applicable forms are to be completed and signed and maintained in six part folders in the order identified on the "Participant File Checklist" (copy attached).

Also ensure that the requirements of OEWD Directive No. 04-07, "Case File Exit Review" are met. This directive requires the completion of a checklist to ensure that all of the above information is completed in an appropriate manner.

**ACTION:**

The OEWD and its service providers shall follow this policy. This policy shall remain in effect until such time that a revision is required.

**INQUIRIES:**

Inquiries should be addressed to the WIA Program Manager at 581-2314 or [marc.majors@sfgov.org](mailto:marc.majors@sfgov.org).

Rhonda Simmons  
Director of Workforce Development  
Office of Economic and Workforce Development

**Office of Economic and Workforce Development**  
**Workforce Development Division**  
**One-Stop Business & Career Centers**



**PARTICIPANT FILE CHECKLIST**

**PART 1 – Case Notes**

- Case Notes
- Participant File Checklist

**Part 2 – Eligibility Documents**

- WIA Application (*Completed by One Stop@ Certification*)
- Adult Universal Application (*if applicable*)
- Youth Universal Application (*if applicable*)
- Completed Certification/Eligibility Form
- Completed Title I Eligibility Verification Form
- Authorization to work in the US
- Selective Service Registration (*For male born after December 31, 1959*)
- Proof of Age
- Proof of Income and Family Size (*if using family income*)
- Proof of Residency – San Francisco
- Dislocated Worker (DW) Eligibility Questionnaire
- Notice of Layoff or Termination (*DW Only*)
- UI Benefits Eligibility, Receipt or Exhaustion (*DW Only*)
- Dislocated Worker – Unlikely to Return Affidavit
- Displaced Homemaker Self Certification
- WIA Enrollment Form (*Initial Enrollment*) – EDD Form
- Signed WIA/OEWD Release of Information Form
- Signed Participant Rights and Responsibilities

**PART 3 - Assessment**

- PRE-Test – TABE/CASAS/ABLE or other approved Assessment Tool for Math and Reading
- WIA Youth Test Scores (WIA-YTS) @ Initial Enrollment (*Out of School Youth who are Basic Skills Deficient*)
- One Stop Assessment Form

- Individual Employment Plan (IEP) or Individual Service Strategy Form (ISS)
- Support Service Eligibility/Authorization Form
- Child Care Eligibility Authorization Record
- Staff-Assisted to Intensive Services Determination
- Intensive Services to Training Services Determination
- POST-Test – TABE/CASAS/ABLE or other approved Math & Reading Assessment Tool (*Out-of-School Youth Only*)
- WIA Youth Test Scores (WIA-YTS) @ Attainment of Literacy or Numeracy Gain (*Out of School Youth who are Basic Skills Deficient*) – EDD Form

**PART 4 – Contract Documents**

- OJT (On-the-Job Training) Proposal
- OJT Contract Agreement
- OJT Checklist
- Training Provider Research and Labor Market Survey
- ITA Worksheet (*Individual Training Account*)
- Training Provider Contract (*ITA*)
- WIA Enrollment Form (*Completion of Activity*) – EDD Form

**PART 5 – Progress Reports**

- Monthly Attendance and Progress Reports
- Job Search History/Record

**PART 6 – Performance Outcomes**

- Proof of Education, Training, Employment (*1<sup>st</sup>, 2<sup>nd</sup> and 3<sup>rd</sup> quarters, certificate, diploma, school letter of acceptance, pay stub, employer verification letter*)
- Exit Form – EDD Form
- Follow Up Contact Information – EDD Form