



Monterey County Workforce Development Board (WDB)
LOCAL POLICY BULLETIN #2016-03

Effective Date: December 7, 2016
Full WDB Adopted: December 7, 2016

TO: All Monterey County Workforce Innovation and Opportunity Act (WIOA) Service Providers

SUBJECT: Release of Confidential Unemployment Insurance Information

PURPOSE: This policy provides guidance and establishes procedures regarding the process for WIOA Service Providers to obtain Unemployment Insurance (UI) claimant information from the Employment Development Department (EDD) for WIOA customers.

Confidential UI information obtained by WIOA Service Providers utilizing the WIOA UI–Data Consent Authorization Form (DCAF) process outlined in this policy can be used as an acceptable documentation for the following Dislocated Worker (DW) Program eligibility criteria: *Is eligible for or has exhausted entitlement to unemployment compensation.*

REFERENCE: Workforce Services Directive (WSD) 16-08, Subject: Release of Confidential UI Information (October 3, 2016).

BACKGROUND: The UI Code prohibits the disclosure of UI claimant information for purposes not related to the administration of the UI Program. However, the Information Practices Act (IPA) permits release of personal information maintained by state agencies with the written consent from the individual who is the subject of the request. Currently, the EDD processes UI–Data Consent Authorization Forms (DCAF) that provide WIOA subrecipients confidential UI information to determine a customer’s WIOA eligibility, although, some confidential UI claim data can now be accessed online by UI claimants due to the implementation of UI Online.

POLICY AND PROCEDURES: This policy applies to all Monterey County WIOA Service Providers and recipients of WIOA funds.

Reference the following pages of this policy for the Release of Confidential Unemployment Insurance Information policy and procedures.

ATTACHMENTS:

1. WIOA UI Data Consent Authorization Form
2. Instructions for WIOA UI Data Consent Authorization Form
3. Request to Assign or Change Location Code Form

INQUIRIES: For questions or assistance related to this policy, please contact the Monterey County Workforce Development Board staff at (831) 796-6434.

This policy is posted on the WDB website located at: www.montereycountywdb.org/policies/

POLICY AND PROCEDURES:

WIOA Service Providers wishing to obtain UI claimant data to determine WIOA eligibility for a customer or potential customer, or to evaluate how to best serve them, should first attempt to obtain all required UI eligibility information directly from the customer. Once obtained, all documentation must be maintained in the customer’s case file.

RECOMMENDED METHODS: *Alternate sources to secure confidential UI data*

WIOA Service Providers should request that customer’s provide their UI information from the following methods:

1. Visit UI Online www.edd.ca.gov/Unemployment/UI_Online.htm and obtain a print screen showing the information that demonstrates the customer is qualified for UI, is receiving UI or has exhausted their UI benefits (Prior to registering on UI Online, customers must have their account number, which can be found on their *EDD Customer Account Number (DE 5614)* letter or by calling an [EDD UI Representative](#));
2. Request a copy of the *Notice of Unemployment Insurance Award (DE 429Z)* letter;
3. Request a copy of the *Notice of Unemployment Insurance Claim Filed (DE 1101CLMT)* letter; and/or
4. Request a copy of the [Automated UI Check Stub Message](#).

In the event that the customer’s [DE 429Z](#) and [DE 1101CLMT](#) letters become misplaced or lost, the customer may request copies mailed to them through [Ask EDD](#) by selecting the “Unemployment Insurance Benefits” category. WIOA customers are to be advised of the potential delay in receiving a copy of their UI letter(s) due to the mailing process.

If the customer is unable to provide sufficient information utilizing the recommended methods listed above and all other means of obtaining the relevant UI information directly from the customer have been exhausted, Service Providers are to initiate the EDD UI Program’s WIOA UI–DCAF process outlined below as an option of last resort to collect UI claim data.

The following table identifies information provided to a WIOA customer following the recommended methods listed above or through the EDD UI Program for verification of employment and claim status:

<p align="center">RECOMMENDED METHODS <i>Alternate sources to secure confidential UI data for verification of employment & claim status</i></p>	<p align="center">EDD UI PROGRAM <i>UI data released through the WIOA UI – Data Consent Authorization Form (DCAF) process for verification of employment & claim status</i></p>
<ul style="list-style-type: none"> ▪ Notice of UI Award (DE 429Z) 	<p align="center">Quarterly wages for the most recent completed three quarters</p>
<ul style="list-style-type: none"> ▪ UI Online ▪ Notice of UI Award (DE 429Z) ▪ Notice of UI Claim Filed (DE 1101CLMT) <i>(Only Effective Date of Claim)</i> 	<p align="center">Effective and ending date of claim</p>
<ul style="list-style-type: none"> ▪ UI Online ▪ Notice of UI Award (DE 429Z) 	<p align="center">Claim award</p>
<ul style="list-style-type: none"> ▪ UI Online ▪ Notice of UI Claim Filed (DE 1101CLMT) 	<p align="center">Last employer name and address Last day worked Reason for separation</p>
<ul style="list-style-type: none"> ▪ UI Online ▪ Automated UI Check Stub Message 	<p align="center">Claim balance Benefits exhausted</p>

EDD UI PROGRAM: *UI data released through the WIOA UI – Data Consent Authorization Form (DCAF) process*

The *WIOA UI Data Consent Authorization Form* (Attachment 1) is included with this policy and will be required from the WIOA customer to allow release of the UI claim status and UI wage information. The UI Program has agreed to process the WIOA UI–DCAF within three business days of receipt. The instructions on how to complete the *WIOA UI Data Consent Authorization Form* (Attachment 2) are included with this policy.

Prior to submission of the *WIOA UI Data Consent Authorization Form* (Attachment 1) for processing by the EDD UI Program, the WIOA subrecipient must email, fax or mail to EDD a completed *Request to Assign or Change Location Code Form* (Attachment 3), included with this policy. The procedure for completing this form is outlined below. Because the information transmitted by the EDD in response to submission of a WIOA UI–DCAF is confidential, the

EDD must make a reasonable effort to assure that the information provided is faxed or mailed to a location authorized to receive confidential information and received by someone fully informed about the procedures for the use of confidential data.

Procedure to Request to Assign or Change a Location Code:

1. Each WIOA Service Provider who needs to use the WIOA UI-DCAF to receive UI information for WIOA customers or program participants must complete the *Request to Assign or Change Location Code* form (Attachment 3). The EDD WSD staff will assign the Location Code to each business location (mailing address and fax number) where UI information may be transmitted. In order to comply with the automated process, the Location Code must consist of the three-letter WIOA subrecipient code, a dash, and then a two-digit number to identify each physical location. For Monterey County, the three-letter WIOA subrecipient code is "MON". For example, if subrecipient "MON" provides only one address and fax number for responses, the Location Code could be MON-01. If subrecipient "MON" provides multiple addresses and fax numbers for receipt of UI data the codes might be MON-01, MON-02, and so on. The two digit numeric code is required to be sequential. Please limit the number of designated Location Codes to the minimum necessary to effectively transact business.
2. The local Monterey County Workforce Development Board is responsible for the administration of confidential information in Monterey County and must sign the *Request to Assign or Change Location Code* form.
3. The WIOA Service Provider must adopt administrative, technical, and physical safeguards to protect the privacy and confidentiality of the UI data. This includes ensuring that the UI data is sent to securely located fax machines—housed in areas without public access. WIOA Service Providers have the option, and are encouraged, to use fax modems (i.e., fax numbers that transport directly into a personal computer), rather than traditional fax machines. However, a traditional fax machine located in an area not accessible to the public is acceptable.
4. The *Request to Assign or Change Location Code* form must be submitted to the Central Office Workforce Services Division (COWSD) at the email address, fax number, or mailing address indicated on the form. The COWSD must be notified immediately of any change of address or fax number associated with an assigned Location Code.

Procedure to Request UI Claim Information of a WIOA Customer:

1. The WIOA Service Provider may fax or mail the attached WIOA UI—DCAF to the UI Program at the fax number or address indicated on the form. The WIOA UI—DCAF authorizes the EDD to release records pertaining to the WIOA customer's UI status. The customer completes the top half of the WIOA UI—DCAF and the WIOA Service Provider shall complete the bottom half.
2. The WIOA Service Provider must add their own letterhead to the attached WIOA UI—DCAF template. The UI Program will not accept or process WIOA UI—DCAFs that are not on WIOA subrecipient letterhead.
3. The WIOA customer must indicate on the WIOA UI—DCAF if the response to the data request will be sent via fax or mail.
4. The EDD will only respond to WIOA subrecipient data requests submitted on WIOA UI—DCAF forms signed and dated by the WIOA customer. The UI Program will verify that the Social Security Number on the WIOA UI—DCAF is valid and matches the name provided.
5. The WIOA UI—DCAF must include a valid Location Code. (i.e. "MON" for Monterey County)
6. Upon receipt of the WIOA UI-DCAF, the UI Program will process the request and, as requested by the WIOA customer, fax or mail the response to the location identified by the Location Code. The original, if faxed, or a copy, if mailed, of the WIOA UI—DCAF must be kept in the WIOA customer's case file and is subject to audit.
7. A signed WIOA UI—DCAF is valid for 12-months. If 12-months have passed and WIOA subrecipients wish to obtain updated UI claimant information, a new WIOA UI—DCAF must be obtained from the WIOA customer.

A completed *WIOA UI-Data Consent Authorization* form will allow the WIOA subrecipient access to the following confidential UI claimant information:

- Wage information for the most recent three completed quarters.
- Current claim information (claim award, claim balance, effective and ending date of claim, if benefits are exhausted, last employer name/address, date last worked and if reason for separation was laid off due to lack of work).
- If no current claim on file, available information on any claim in the last nine months.