



CENTRAL REGION

Workforce Innovation and Opportunity Act (WIOA) Operating Policy 302

Subject: WIOA File Organization and Maintenance

Date of Issuance: July 12, 2013

Revised: January 10, 2018

References: VWL # 16-03

Policy Statement:

The purpose of this policy is to provide Central Virginia Workforce Development Board (WDB) Service Providers with a standardized format for participant files and guidance on its implementation.

Part I. File Organization

The file format (see Attachment A) is broken out into six different sections. Each section is numbered, has a specific order in which it is to be placed into the file, and provides a checklist of the documentation expected to be maintained in that section and the order in which that documentation should be filed.

Central Virginia WDB Service Providers will utilize the six tab file folder sections as noted below. Files shall include one section per tab, working from left to right and moving through the numbers sequentially once the folder is open.

- Section One shall be placed on the first (left hand) tab of the open folder
- Section Two shall be placed on the second (right hand) tab
- Section Three shall be placed on the third (left hand) tab
- Section Four shall be placed on the fourth (right hand) tab
- Section Five shall be placed on the fifth (left hand) tab
- Section six shall be placed on the last (right hand) tab

Paperwork Reduction Act of 1980

In accordance with the Paperwork Reduction Act of 1980, the Central Virginia WDB does not require Service Providers to maintain copies of VaWC print-outs (Section One) or updated VaWC Case Notes (Section Two) in the participant record. All case notes and activities should be entered electronically on

the VaWC.

Part II. Participant File Folder Cover/Labeling Format

Participant file folders should be labeled in a consistent manner and should not include any sensitive or personally identifiable information (PII) is not displayed for others to see. To protect and safeguard participants' personal information, sensitive and personally identifiable information (PII) must not be displayed on participant file folder cover/labeling. Central Virginia WDB participant files shall be labeled with the following information:

- First and last name
- State ID number

Part III. File Maintenance

- Participant records should be reviewed periodically by Central Region Service Providers to ensure they are up-to-date; including a cross check against information entered into VaWC to maintain consistency.
- Central Virginia WDB staff will conduct formal and informal monitoring in accordance with local policy AP # 203.

WIOA PARTICIPANT FILE FORMAT

SECTION ONE

(Attach to left inside cover)

Check all appropriate areas in each file section and ensure that all applicable forms and documentation are filed in the appropriate section

VaWC PRINT-OUTS

INTAKE/DOCUMENTATION TO SUPPORT ELIGIBILITY

(Please file documentation in order from top to bottom)

___ VaWC Print-outs *(ONE copy of the most up-to-date services, but only if required by local policy)*

___ Signed WIOA application *(VaWC or local area developed paper application)*

___ State Eligibility Checklist

General Eligibility

___ Age verification documentation

___ Citizenship verification documentation

___ Selective service verification documentation *(if applicable)*

Specific Eligibility

___ Income Determination Form/Family Size *(if applicable) (adult and youth only)*

___ Income verification documentation *(if applicable) (adult and youth only)*

___ Public Assistance verification docs *(if applicable) (adult and youth only)*

___ Youth Barrier documentation *(youth only)*

___ School status Verification Form and Docs *(Youth only: in-school or out of school)*

___ Disability verification docs *(if applicable)*

___ Dislocated worker proof of separation *(dislocated worker only)*

___ UI benefit determination/payments *(dislocated worker only)*

___ Unlikely to Return Analysis/Statement *(if applicable)* accompanied with LMI print outs for job/industry *(dislocated worker only)*

___ Dislocated - Self Employed verification *(if applicable) (dislocated worker only)*

___ Displaced Homemaker/Displaced Homemaker - Military Spouse *(if applicable) (dislocated worker only)*

Additional required documentation

___ EEO form – signed *(copy given to client)*

___ Grievance Procedures – signed *(copy given to client)*

___ Other local area required administrative forms

****Counts as Youth Program element**

WIOA PARTICIPANT FILE FORMAT

SECTION TWO

(Attach to second flap)

Check all appropriate areas in each file section and ensure that all applicable forms and documentation are filed in the appropriate section

VaWC CASE NOTES

ASSESSMENT(S)

INDIVIDUAL EMPLOYMENT PLANS/ INDIVIDUAL SERVICE STRATEGIES

STAFF ASSISTED CAREER SERVICES

(Please file documentation in order from top to bottom)

VaWC Case Notes

___ Updated Case Notes *(most recent note on top to oldest note on the bottom)*

Individual Employment Plans/Individual Service Strategies

___ IEP/ISS completed, signed by both client and case manager

___ IEP/ISS reviews and updates completed, signed by both client and case manager

Assessments

___ Basic Skill Levels in Reading and Math *(if applicable) (e.g. TABE tests, Work Keys, etc...)*

___ Career/Vocational Assessment *(if applicable) (e.g. Career Choice, Career Scope, COPS, CAPS, etc...)*

___ Self-directed assessment from other sources such as from the Internet *(if applicable)*

___ School Records *(if applicable) (e.g. IEPs, standardized testing, etc...)*

___ Written assessment of participant *(if local area requires a written assessment)*

Staff-assisted Career Services

___ Documentation of WIOA staff-assisted Career services *(only if required by local policy) (Must ensure that these are not a duplication of Career services provided by Wagner-Peyser).*

****Counts as Youth Program element**

WIOA PARTICIPANT FILE FORMAT SECTION THREE

*Check all appropriate areas in each file section and ensure that
all applicable forms and documentation are filed in the appropriate section*

DEGREE, DIPLOMA, CERTIFICATE, OR CREDENTIAL

RESUME

REFERRALS

CORRESPONDENCE

(Please file documentation in order from top to bottom. Case notes should be reflective of services provided.)

Attainment of Degree, Diploma, Certificate or Credential- Check the appropriate category and provide supporting documentation

- ☐ Copy of Degree or Diploma
- ☐ Copy of Occupational Skills Certificate
- ☐ Copy of Academic records/transcripts showing conferral of a degree, diploma, or certificate
- ☐ Copy of Occupational Skills License
- ☐ Copy of CRC

Resume

- ☐ Copy of participant's resume

Referrals- Check the appropriate category and provide supporting documentation

- ☐ Referral form(s)/ referrals
- ☐ Individual counseling *(if applicable)*
- ☐ Comprehensive guidance and counseling *** (if applicable)*
- ☐ Career guidance and counseling *(if applicable)*

Correspondence

- ☐ Miscellaneous correspondence (letters or emails to and from clients, general activity flyers, etc.)

***Counts as Youth Program element*

WIOA PARTICIPANT FILE FORMAT

SECTION FOUR

*Check all appropriate areas in each file section and ensure that
all applicable forms and documentation are filed in the appropriate section*

TRAINING

(Please file documentation in order from top to bottom. Separate employment and training sections with blank/colored piece of paper)

Training- Check appropriate category and provide supporting documentation

Type

- ☐ OJT
- ☐ Occupational skills training
- ☐ Incumbent worker training
- ☐ Workplace training with related instruction, including cooperative education training
- ☐ Private sector training
- ☐ Skills upgrading and retraining
- ☐ Entrepreneurial training**
- ☐ Job readiness training
- ☐ Work Experience (paid/unpaid) **
- ☐ Adult Ed/ Basic literacy/Basic Skills **
- ☐ Customized training
- ☐ Transitional jobs in accordance with Subsection (d)(5) (*adult/DW only*)
- ☐ Tutoring/Study Skills ** (*youth only*)
- ☐ Work readiness ** (*youth only*)
- ☐ Leadership Development ** (*youth only*) – description, progress, attendance, completion
- ☐ Adult Mentoring ** (*youth only*) - description, progress, attendance, completion
- ☐ Alternative School services ** (*youth only*) - description, progress, attendance, completion
- ☐ Prep for/transition to postsecondary education and training** (*youth only*)
- ☐ Career counseling, career awareness, career exploration** (*youth only*)
- ☐ Financial literacy education** (*youth only*)

Documentation

- ☐ Customer Choice in training form
- ☐ Training Progress- (*grades, records, transcripts*)
- ☐ ITA's/Training Authorizations,
- ☐ School or training provider invoices, etc. applicable for training services
- ☐ FAFSA application
- ☐ Financial Award Analysis and documentation on availability of other funds (*e.g. Pell Grants, etc...*)
- ☐ Curriculum information- (*required course listings for training program*)
- ☐ Labor Market Information (*show training is high demand/high growth occupation*)
- ☐ Vouchers, Invoices, etc. for OJT/Work Exp. related expenses
- ☐ Timesheets signed by participant and supervisor
- ☐ Performance Evaluations signed by participant and supervisor
- ☐ OJT/Work Exp. contract signed by appropriate parties
- ☐ OJT/Job Description

****Counts as Youth Program element**

WIOA PARTICIPANT FILE FORMAT

SECTION FIVE

Check all appropriate areas in each file section and ensure that all applicable forms and documentation are filed in the appropriate section

INCENTIVES

SUPPORTIVE SERVICES**

(Please file documentation in order from top to bottom. Separate employment and training sections with blank/colored piece of paper)

Incentives

☐ Incentives provided (youth only)

Documentation *(Please file documentation in order from top to bottom)*

☐ Supporting Documentation of incentives provided and explanation of need *(see local policy for accepted documentation sources.-ex. Grades, Diploma, assessment scores showing increase in basic skills, etc.)*

☐ Copy of local area or provider policy on Incentives

Supportive Services ** - Check the appropriate category and provide supporting documentation

(Please file documentation in order from top to bottom)

☐ Transportation

☐ Family Care

☐ Medical

☐ Temporary Shelter

☐ Needs based payments

☐ Other

Documentation *(Please file documentation in order from top to bottom)*

☐ Expenditures tracker *(if used by local area-see local policy. Depicts training, work experience and supportive service dollars- cap amounts, used/unused funds)*

☐ Supporting Documentation of services *(see local policy for accepted documentation sources.-ex. MapQuest and attendance records for mileage reimbursement; invoices/receipts for clothing/tools etc...)*

☐ Supportive Services determination form completed and signed by client and case manager *(must show other resources attempted/used/eliminated for supportive services)*

****Counts as Youth Program element**

WIOA PARTICIPANT FILE FORMAT**SECTION SIX**

(Attach to last flap)

Check all appropriate areas in each file section and ensure that all applicable forms and documentation are filed in the appropriate section

FOLLOW-UP**EMPLOYMENT VERIFICATION****CLOSURE/EXIT REASON****MISCELLANEOUS DOCUMENTS**

(Please file documentation in order from top to bottom. Separate employment and training sections with blank/colored piece of paper)

Follow-Up **

- ☐ Follow-Up contact log/information collected (employment, credential, etc.)
- ☐ Follow-up Activities/Services provided
- ☐ Documentation to support Follow-Up activities/services

Employment Verification

- ☐ Employment verification form signed by employer, letter from employer
- ☐ Copy of Work Number or other online employment verification documentation

Closure/Exit Reason

- ☐ VaWC Outcome Screens, Exit Screens, etc... *(if required by local area)*
- ☐ Exclusions: *(if applicable) (provide supporting documentation and detailed case note thoroughly describing the reason for using the exclusion)*
- ☐ Institutionalized
- ☐ Health/medical
- ☐ Deceased
- ☐ Reserve Forces called to active duty
- ☐ Relocation to a mandated program *(youth only)*
- ☐ Invalid or missing SSN
- ☐ Supporting Documentation regarding Exit/Exclusion reason

Miscellaneous Documents

- ☐ Any other documentation that does not fall under other categories

****Counts as Youth Program element**