



<p>Workforce Investment Act (WIA) Operating Procedure #13-01</p>
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Subject: **WIA File Organization and Maintenance**

Date of Issuance: **July 12, 2013**

Part I. – File Organization

In order to promote efficiency, consistency, and ease of reference and access for staff; as well as for monitoring purposes, all Region 2000 WIA Title I service providers will organize files in the manner outlined on the checklist at Attachment 1 of this document.

Part II. – File Maintenance

- A. Participant files will be updated each time a new service or activity occurs, and when any contact is made with the customer; with file documentation added as appropriate.
- B. Files shall be reviewed no less than every 30-45 days to ensure that they are up-date; including a cross check against information entered into VOS to maintain consistency.

Region 2000 WIA Participant File Checklist

(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 (please include any additional area(s) that may be determined by the service provider)

SELF- SERVICE

Section One

- ☐ Record of One-Stop visits
- ☐ Orientation to the One-Stop Center and Programs
- ☐ Initial Assessment
- ☐ Job Service Activities
- ☐ Referral Form(s) to the One-Stop Center or other eligible Program(s)
- ☐ Consent to Exchange Information

INTAKE/DOCUMENTATION TO SUPPORT ELIGIBILITY

Section Two

- ☐ VOS Print Out of Program Eligibility Application Screen
- ☐ Social Security Card
- ☐ Driver's License
- ☐ Birth Certificate or other proofs of US citizenship if applicable
- ☐ Permanent Resident Card (if applicable)
- ☐ Selective Service Verification (e.g. internet, registration card, etc...)
- ☐ Income verification (if applicable) (e.g. 6 months pay stubs, Income Tax Returns, etc...)
- ☐ Family size verification (if applicable) (e.g. self-attestation, DSS records, etc...)
- ☐ Public Assistance verification (e.g. DSS letters/records, etc., food stamp cards, etc...)
- ☐ Verification of Disability (if applicable)
- ☐ Verification of Unemployment Compensation (if applicable)
- ☐ Verification of Dislocated Worker Status (e.g. termination letter, news media plant closure, VEC UI benefit print out, etc...)
- ☐ Unlikely to Return Analysis/Statement (if applicable) accompanied with LMI print outs, proofs of job searches
- ☐ Verification of Displaced Homemaker (if applicable)
- ☐ Verification of Youth Barrier (Youth program only)
- ☐ Priority Determination (Intensive Services)
- ☐ EEO form – explained and signed (copy given to client)
- ☐ Disclosure Release – explained and signed (copy given to client)
- ☐ Grievance Procedures – explained and signed (copy given to client)

COMPREHENSIVE OBJECTIVE ASSESSMENT(S)

Section Three

- ☐ Skill Levels in Reading and Math (e.g. TABE tests, Work Keys)
- ☐ Career/Vocational Assessment (e.g. Career Choice, Career Scope, COPS, CAPS, etc...)
- ☐ Self-directed assessment from other sources such as from the Internet

__ School Records (e.g. IEPs (for youth), etc...)

__ Need for Service/Training

__ Other Types of Assessments

INDIVIDUAL EMPLOYMENT PLAN (IEP) OR INDIVIDUAL SERVICE STRATEGY (ISS FOR YOUTH) AND CASE NOTES

Section Four

__ IEP or ISS completed, explained and signed by both client and CM

__ IEP or ISS review/updates completed, explained and signed by both client and CM

__ IEP or ISS Updates review/completed, explained and signed by both client and CM

Case notes

__ Follow-Up Notes

__ Miscellaneous correspondence (letters or emails to and from clients, etc...)

EMPLOYMENT, TRAINING AND CREDENTIAL INFO

Section Five

__ Financial Award Analysis form and documentation on availability of other funds e.g. Pell Grants, etc)

__ Individual Training Accounts

__ Supportive Services Justification – documentation (e.g. letters from partner agencies re: unavailability of funds/service, etc...)

__ Attendance/Time Sheets

__ If in Occupational Skills Training – grades/transcripts

__ If in Adult Ed Basic Skills/Literacy Activity – School Records, Certificates

__ If in OJT – Training Outline, Contract, OJT Job Description, Evaluation

__ If in Work Experience – WEX Contract, Job Description, Training Plan, Evaluation, Timesheets, Check Copies, etc...

__ If in Tutoring (Youth) – description, progress info

__ If in Alternative Secondary School (Youth) – description, grades

__ If in Summer Employment Opportunities (Youth) – description, progress info, attendance/timesheet

__ If in Leadership Development Opportunities (Youth) – description, progress info

__ If in Adult mentoring (Youth) – description, progress, attendance

__ If in Follow-up services (Youth) – description, progress info

__ If in Comprehensive guidance & counseling (Youth) – description, progress info

__ Vouchers, Invoices applicable for training related expenses

__ VOS Print outs (optional) of job search records, resumes, job search/job development activities, etc...

__ Employment Verification (letters from employers, Wage Info, etc...)

__ Certificates of Completion, Diplomas, etc...

__ Other Agency forms applicable to employment, training and credential

VOS PRINT OUTS/LEAVE PROGRAM/EXIT INFORMATION/MISCELLANEOUS INFORMATION

Section Six

__ VOS Print outs (optional) of Services, Outcome Screens, Exit Screens, etc...

__ Supporting Documentation regarding Exit Reason:

__ Employment: employment verification

__ Training completion: credentials, diplomas, licenses

__ Global Exclusions: applicable documentation (institutionalized, medical reasons, death, military)

- ☐ Exclusions for youth: school/military records
- ☐ State Eligibility Guidelines
- ☐ Income Guidelines