

	PROGRAM PROCEDURES P-PPE: FILE MANAGEMENT PROCEDURES
	DATE: 7/1/16
	<input checked="" type="checkbox"/> NEW <input type="checkbox"/> REVISED

Active Files

Active files are located at the provider locations of services. Files are locked when not in use and filed in the order outlined below as applicable to each participant.

Adult – Dislocated Worker

<p>SECTION 1 Eligibility</p> <p>SUPPORTING DOCUMENTATION Legal to Work</p> <p>Selective Service</p> <p>Veteran’s Status</p> <p>Low Income Adult TANF and / or Other Public Assistance Other Supporting Documentation</p> <p>Release of Information Forms: Release of Information Rights & Responsibilities Equal Opportunity SSN Disclosure Other Releases of Information</p>
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<p>SECTION 2 Individual Employment Plan & Assessments</p> <p>INDIVIDUAL EMPLOYMENT PLAN Enrollment Date Original Date Modifications</p> <p>INDIVIDUAL ASSESSMENTS Basic Skills Assessment/Locater (CASAS/TABE) National Career Readiness Certificate Career Assessment Inventory Occupational Assessment Other Assessments</p>

<p>SECTION 2 CONTINUED SCHOLARSHIP Labor Market Information (i.e. OLMIS printout, CIS) Budget Financial Aid Application & Awards (i.e. FAFSA, Pell, etc.) Eligible Training Provider List (i.e. ETPL Eligible)</p>

<p>SECTION 3 Financial & Contracts</p> <p>FINANCIAL Funding Expenditure Summary Personal Budget</p> <p>CONTRACTS Work Based Services: OJT Training Plan Work Experience Contracts, Evaluation Forms & Timesheets OJT Contracts, Evaluation Forms & Timesheets</p>

<p>SECTION 4 Intensive & Training Services</p> <p>INTENSIVE SERVICES GED / High School Diploma / Equivalency Basic Skills Remediation Short-Term Pre-Vocational Training</p> <p>TRAINING SERVICES</p> <p>Progress & Certificates / Credentials: Grades and Attendance Certificates / Credentials</p> <p>Occupational Skills Training Information: Post-Secondary Vocational Trade School Work History</p> <p>Work Based Training Job Description Work History</p>

Youth

Section 1 Eligibility

SERVICES/EXIT/FOLLOW-UP

Data Validation Checklist at Archive
Follow-up Forms (optional)/ or MIS case note Printout

ELIGIBILITY

Rights & Responsibilities
30 Day File Review Eligibility Checklist
Application
Work History (page 2 of Application)
WSO SSN sharing authorization form
Parental / Guardian Agreement
Confidential information form (if applicable)
Supporting Documentation:
Release of Information Forms

Section 2 Individual Service Strategy and Assessments

Individual Services Strategies
Individual Assessments
Basic Skills Assessment/Locator CASAS
(For Numeracy & Literacy, See Section 6)
Occupational Assessment
Labor Market Information

Section 3 Correspondence

CASE NOTES

Eligibility Verification/Enrollment
Plan
Direct Client Payment
WEX/OJT
Outcome/Exit
Follow-up
E-Mail / Letters to or from Client
Correspondence
(Partners, School, Employers, etc.)
News Articles

Section 4 Client Payments

Funding Expenditure Summary (Optional)
Payment Documentation
(In support of TOC/OWA WIA-39-R07/09)
Youth RFA
(Optional, but case note must show reasonable & necessary,
eligible and good standing, and making progress toward goal)

Section 5 Work Based Services/Job Search Support

Job Search Support

Employer Contacts
Resumes
Applications
Career Exploration

Work Based Services

Work Experience Documents
OJT Documents

Short Term Pre-Vocational Training

Life Skills & Work Readiness

Pre-Employment
Certificate of Completion
Pre-Test
Post-Test

Section 6 Education & Training

School Year

Certificates
Credentials
Degrees
GED/HS Diploma
Progress Reports-High School
Transcript
Occupational Skills Training Information(Optional)
Post Secondary/Vocational Trade School

Financial Aid Applications & Awards

FAFSA, Pell, etc.
Region Scholarship Award Letter
No Scholarship due to regional policy
Numeracy & Literacy

Confidential files

Confidential files are locked and stored in secure location. Confidential files include: Eligibility Documents WOMIS Customer Status Screen Printout, iMatch Customer Profile Overview, I-Trac Eligibility Documentation Report (EDR), I-Trac Program Participation Report (PPR) and other documents containing personally identifiable information.

Archiving Files

Prior to archiving the active participant and confidential files are reviewed and a file documentation logs are completed. Print all case notes and place in the file. Ensure all data entry in I-Trac is completed. For each funding stream, file participant files by program year, alphabetically by participants' last name. NOW staff will coordinate participant file transfers.