

GUIDANCE - FILE REQUIREMENTS

To: Program Operators and Staff

Date: 05/28/2019

Effective: 07/01/19

As a result of State Compliance Monitoring I have been informed we can save paper on several items in the file.

- The DOL is uncomfortable having Birth Certificates in the client's file. Please remember you may use the client's social security card and driver's license to verify birthdate and right to work. In the event that a Birth Certificate is used, please always complete the document inspection form and avoid placing an actual copy of the birth certificate in any client file.
- Confidentiality Statement needs to be made available to the clients. This can be done by having the Confidentiality Statement posted in the office and telling the client how their confidential information will be protected. Nothing needs to be signed. Nothing needs to be in the file.
- VaWC Activity Page is not required in the file.
- Virginia DEI Data Elements is no longer required due to the end of the DEI Grant several years ago.
- Youth Employment Status does NOT need to be verified unless they are dually enrolled with the Adult Program. Great Job on having verification of school status in the files!
- Case Notes are not required to be in the file, thusly they are not required to be signed. Case Notes have been printed in the past due to VaWC deleting case notes. Printed case notes are not required, having case notes in the file is at the discretion of the Program Operator.

- VaWC Assessment Printouts are not required to be in the paper file as long as they are entered into the VaWC.
- Career Scope only needs the Summary Report in the file, unless the summary report does not clearly state that the client has both interest and aptitude in field of study. In this case print the page that is being used for justification for training, highlight the justification and place this documentation in the file with the Career Scope.
- If a client is participating in Job Search, an updated resume should be placed in the client file.
- When a client has an OST the following is required:
 - Curriculum required courses
 - Training calendar to justify start date
 - ITA documents showing who is paying for training along with a case note stating clearly what WIOA will be paying for such as training, books, or supportive services.
 - Financial aid award letter or a statement from the training provider that the training is not eligible for financial aid.
 - Schedule (for every semester)
 - Grades (for every semester)
 - LMI Data or NRMRWDB In-Demand Occupation List (job on list highlighted) to justify training
 - Choice for Training Form (this will be distributed at a later date)
- Application Date is the date the client has completed the enrollment application and signed by the client.
- Eligibility Date is the date the applicant was found eligible.
- Participation Date is the date of the first service provided.
- When an Adult or Dislocated Worker is in an OST and WIOA is paying for the training use 300 Occupational Skills Training – Approved Provider (ITA), if WIOA is not paying for the training but is supporting the training through supportive services use 328 Occupational Skills Training Non-Approved Provider (No ITA).
- If services are entered past the timely data entry date, have a good case note explaining why the service was entered late including the circumstances (I.E. due to holidays service was late being entered into the VaWC, I.E. due to long illness and death, Case Manager was unable to enter the service in a timely manner. This same statement goes for case notes not entered every 30 days.
- The Close date for all VaWC activities should be the date of the last service.