

# Fresno Regional Workforce Investment Board

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Blake Konczal, Executive Director

## OPERATIONAL DIRECTIVE

**FRWIB OD # 09-03, Revision B**

**Date Released: February 3, 2016**

**To: All Fresno Regional Workforce Investment Board Providers of Services**

**From: Blake Konczal, Executive Director**

**Effective Date: February 3, 2016**

**Subject: Adult Case File Standard**

**Applicable Program: Adult, Dislocated Worker**

**Revision History: Initial Release – 6/26/03**

This Revision B updates the casefile standard to reflect current process document requirements, terminology and ease of file review.

The case file standard includes the use of a four (4)-section file that consists of a front and back with one double-sided insert/separator. The file's exterior tab will contain the participant's name, last name first, and the participant application number.

The Fresno Regional Workforce Investment Board (FRWIB) will accept alternative file types, provided all required documents and the file layout are consistent with this Operational Directive, **and** a written request to do so is submitted to and approved by the FRWIB Quality Systems Manager.

Annual monitoring will include review of Provider of Services' compliance with this Operational Directive. This file standard will also ensure compliance with all federal and state laws, regulations and directives, and ensure Providers comply with FRWIB local policies. The Adult/Dislocated Worker File Layout is shown on pages 2 and 3.

All documents/forms in the file must have authorized original signatures and/or original initials with dates, where applicable. All documents shall be retained within each applicable section in chronological order, with the most recently dated document placed on top.

If any questions, please contact the FRWIB Quality Systems Manager.

## Adult/Dislocated File Layout

\*Note each section is in chronological order from top to bottom.

### Section 1: Inside Front Cover of File

#### **Eligibility and Intake:**

- WIOA Application
- Authorization to work in the US (passport, CA ID or License, verification of birth date/age, signed Social Security Card)
- Selective Service Registration verification (if applicable)
- Fresno County Residency Verification (dated within the last 30 days from the application)
- Verification of Family Size
- Income Summary Sheet (as applicable)
- Income Verification
  - ✓ Verification of public assistance/CalFRESH
  - ✓ Check stubs prior 6 months for working individuals
  - ✓ Other verification of income (if applicable)
- Verification of Dislocated Worker Eligibility
- Applicant's Statement (Form# GEN-001)
- FRWIB Nepotism Policy (Form# REG-111)
- WIOA Title I Programs Compliant Procedure/Discrimination Complaint Procedures (Form# QUA-031)

#### **Assessments:**

- WIN Career Readiness System (if applicable)
- WorkKeys
- PESCO – Client Readiness Report
- CASAS Post-Assessment Results
- Skills Tutor Detail Reports
- CASAS Pre-Assessment Results

#### **SRT:**

- SRT Case Notes
- SRT Questionnaire (Form# REG-106)
- SRT Approval

#### **Orientation:**

- Media Release Form (Form# MCD-004)
- Universal Release of Information (Form# REG-100)
- Job Seeker Participation Agreement (Form# REG-113)
- Job Track Application (Form# JOB-001)
- Customer Profile (when I-Train is not available) (Form# REG-103)

### Section 2: Front Side of First Separator

#### **Individual Employment Plan:**

- Amendments/Section 8 (Planned Activities)
- Signed IEP

#### **Job Readiness Workshops:**

- Central California Work Readiness Checklist
- Career Pillar Workshop Certificate (Form# GEN-006)
- ERS Work Readiness Checklist (Form# JOB-004)
- Code 11 Mock Interview Checklist (Form# JOB-005)
- Job Ready Resume
- Career Track Application (Form# CAR-0105)

#### **Supportive Services:**

- Participant Self-Certification (Form# SUP-002)
- Budget Analysis
- Supportive Services Reimbursement Request (Form# SUP-004)
- Supportive Services Payment Request (Form# SUP-007)
- Supportive Services supporting documentation and receipts
- Needs Related Payment Request (Form# SUP-006)
- Waiver to SUS Policy (if applicable) (Form# QUA-194)

Section 3: Backside of First Separator

**On the Job Training / Work Experience / Individual Training Account:**

- OJT
- OJT Employer Eligibility Check List (Form# OJT-001)
  - OJT Employment Plan Outline/Employer Evaluation (Form# OJT-002)
  - OJT Employer Reimbursement Invoice (Form# OJT-006)
  - Provider of Services OJT Monitoring Form (Form# OJT-008)
  - OJT Scholarship Panel Checklist (Form# OJT-018)
  - OJT Scholarship Application and Rating Matrix (Form# OJT-019)
  - OJT Agreement
  - Safety Training Verification Form (Form# LIW-002)
  - OJT Certificate of Completion

- WEX
- Work Experience Certificate of Competency (Form# WKX-004)
  - Adult WEX Monitoring Record (Form# WKX-016)
  - Adult Supervisor Evaluation Form (Form# WKX-015)
  - Adult Work Experience Training Plan (Form# WKX-013)
  - Adult WEX Timesheet (Form# WKX-017)
  - Work Experience Reimbursement Detail (Form# CAR- 007)
  - Verification of Safety Training (Form# WKX-002)
  - Employment Paperwork:
    - ✓ Completed W-4 and I-9 Form

- ITA
- Certificate of Completion
  - ITA Progress Reports
  - Bi-Weekly Timesheets (Form# GEN-002) OR
  - Public Education Entity Bi-weekly/Monthly Timesheets (Form# STA-217/218) AND
  - Public Education Entity Monthly Enrollment Verification (Form# STA-217)
  - Most recent Case Manager Payment Authorizations (I-Train)
  - Skills Training Account Voucher
  - Scholarship Panel Packet to include:
    - ✓ Scholarship Panel Checklist (Form# STA-207)
    - ✓ Scholarship Application (Form# STA-204)
    - ✓ PELL Grant/Financial Aid Award Documentation
    - ✓ Occupation Self-Certification (Form# STA-208)
    - ✓ Client Readiness Report
    - ✓ Career Track Application (Form# CAR-005)
    - ✓ Job Interview Ready Resume
  - Training Section of Job Seeker Agreement
  - Approved Waiver (if applicable)

Section 4: Inside of Back Cover of File

**WIOA Forms:**

- WIOA Post Exit Follow-up-1<sup>st</sup>-4<sup>th</sup> Quarter
- WIOA Closure
- WIOA Enrollment/Registration

**Case Notes / Miscellaneous Correspondence**

- Case Notes
- Notice of Intent to Exit Letter
- Contact Information Form with updates
- Miscellaneous correspondence (contact letters, referral information etc.)