



PARTICIPANT FILE FORMAT

Department: Office of Economic & Workforce Development

Effective Date: July 1, 2012

Policy/Procedure #: WDD114-A

Supersedes: July 1, 2008

Overview

In order to ensure consistency among Providers, a standard participant file format is required. Standardizing the format also helps Providers to easily identify missing documents and helps to ensure that auditors (internal or external) are able to find required documents and support information with ease.

File Type

Providers will use standard 8.5"x11" manila file folders. Legal or irregular files are not allowable. This is of particular importance as files are often transferred from one provider to another through the course of service.

File Layout

File Exterior: The file's exterior tab will contain the participant's name, last name first (for filing purposes), the participant ID number and the completed Provider Participant File Checklist, which may be downloaded from www.workforcedevelopmentsf.org/aboutus (click on Provider Resources>OEWD Program Monitoring) .

File Interior: The documents housed in a participant's file will be filed in a prescribed order. Documents will be in the order of the service flow and will include:

	CDBG	General Fund	WIA or blended funding
Client Application	Form G	X	X
OEWD Rights and Responsibilities Form	X	X	X
OEWD Release of Information Form	X	X	X
Proof of Income	Form G		X
Proof of San Francisco Residency		X	
	CDBG	General Fund	WIA or blended funding
WIA Application			X
WIA Title I Eligibility			X

Right to Work Documentation	<i>If receiving wages</i>	<i>If receiving wages</i>	X
Selective Service Registration			
Eligibility Supporting Documents		X	X
Assessments	X	X	X
WIA Test Scores Form			X
Individual Services Strategy	X	X	X
Case Notes	X	X	X
Supportive Services d=Documentation		X	X
WIA Enrollment Form			X
Staff Assisted to Intensive Services Determination (if applicable)			X
Intensive Services to Training Services Determination (if applicable)			X
Attendance and Progress Reports	X	X	X
Timesheets, W4, I9, work permit (if applicable)	<i>If receiving wages</i>	<i>if receiving wages</i>	X
ITA and/or OJT Worksheet (if applicable)			X
ITA and/or OJT Contract Agreement			X
Training Provider Research and Labor Market Survey (if applicable)			X
WIA Exit Form			X
WIA Follow-Up Form			X
WIA Education and Employment Verification Form			X
Performance Outcomes Supporting Documents			X

File Maintenance

Providers must maintain files in a **locked** file cabinet or other appropriate storage space to ensure the security of participant case files. Providers should always retain original documents associated with the services they have provided directly. When transferring files, copies will be sent to the receiving Provider. Providers will maintain participant files for a period of no less than five (5) years from the point of exit.

Inquiries

Inquiries should be addressed to the OEWD Program Operations Director at 415-701-4848 or workforce.development@sfgov.org.

OEWD and its service providers shall follow this policy. This policy will remain in effect from the date of issue until such time that a revision is required.