



## PARTICIPANT FILE FORMAT

Department: Office of Economic & Workforce  
Development

Effective Date: July 1, 2008

Policy/Procedure #: WIA114-A

Supersedes: N/A

### 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) and the participant ID number.

*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:

- Universal Youth or Adult Application and/or WIA Application
- Participant Rights and Responsibilities
- WIA Title I Eligibility Verification Form and supporting documents
- Individual Service Strategy or Individual Employment Plan
- Pre and Post Tests or One Stop Assessment Form (If applicable)
- WIA Youth Test Scores (If applicable)
- WIA Enrollment Form
- Release of Information
- Support Service Eligibility/Authorization Form (If applicable)
- Child Care Eligibility Authorization Record (If applicable)
- Staff-Assisted to Intensive Services Determination (If applicable)
- Intensive Services to Training Services Determination (If applicable)

- ITA and/or OJT Worksheet (If applicable)
- ITA and/or OJT Contract Agreement (If applicable)
- Training Provider Research and Labor Market Survey (If applicable)
- Job Search History/Record (If applicable)
- Monthly Attendance and Progress Reports (If applicable)
- WIA Exit Form
- WIA Follow-Up Form
- Education and Employment Verification Form
- Performance Outcomes supporting documents (Proof of Education, Training, Employment, certificate, diploma, etc.)
- Case notes

### 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.