

YOUTH PARTICIPANT FILE FORMAT	
Department: Office of Economic & Workforce Development	Effective Date: January 1, 2011
Policy/Procedure #: 114Y	Supersedes: October 1, 2009

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 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 client exit. Providers who have concluded a contract with OEWD will transfer original files to OEWD and maintain copies of the files for three (3) years contract end date.

File Layout

File Exterior: The file's exterior tab will contain the participant's name, last name first (for filing purposes), and the completed Provider Participant Document Checklist, which may be downloaded from http://www.oewd.org/OEWD_Program_Monitoring.aspx.

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, based on funding stream, 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 Form			X
Right to Work Documentation	<i>if receiving wages</i>	<i>if receiving wages</i>	X
Selective Service Registration			X
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 documentation		X	X
WIA Enrollment Form			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 (if applicable)			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 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.

