

COMMONWEALTH OF VIRGINIA
VIRGINIA COMMUNITY COLLEGE SYSTEM

WORKFORCE INVESTMENT ACT

VIRGINIA WORKFORCE LETTER (VWL) 13-08

TO LOCAL WORKFORCE INVESTMENT BOARDS

FROM: WORKFORCE DEVELOPMENT SERVICES

SUBJECT: STANDARDIZED PARTICIPANT FILE FORMAT

DATE: June 18, 2014

EFFECTIVE DATE: July1, 2014

Purpose

To provide local workforce investment areas and their providers a standardized format for participant files and guidance on its implementation.

Background

A major concern of the WIA program is that the participant files accurately reflect the participants' eligibility and journey throughout the program.

The Department of Labor's review of Virginia's workforce system in November of 2010 included a concern that the local areas did not have a consistent approach in organizing participant files and suggested that a standardized file format would ensure consistency. This VWL is intended to address this concern by providing a standardized file format and guidance on its implementation.

Note: VCCS recognizes that areas and service providers may begin to engage in the use of electronic file storage. This VWL is intended to address entities that use a paper-based system. However, areas that use an electronic file system, should: (1) identify a storage format that aligns with the paper format provided; (2) ensure that the electronic system meets security requirements for storage of personally identifiable and confidential information; and (3) be able to provide access to the electronic files for monitoring and auditing staff on an as needed

basis or be able to print out documentation for files requested for review or audit within a 48 hour time period.

Format

The VCCS Workforce Development Services has developed a format that will standardize the layout of participant files across the Commonwealth. This format will assist local areas in ensuring a consistent structure for all files and consistent documentation of participant activities within the files.

The file format (see Attachment A) is broken out into six different sections. Each section is numbered, has a specific order in which it is to be placed into the file, and provides a checklist of the documentation expected to be maintained in that section and the order in which that documentation should be filed.

- Section One – VaWC Printouts, Intake/documentation to support eligibility
- Section Two – VaWC Case Notes, Assessments, IEPs/ISSs, Staff Assisted Core Services
- Section Three – Degree/Diploma, Certificate/Credential, Resumes, Referrals, Correspondence
- Section Four – Training
- Section Five – Incentives, Supportive services
- Section Six – Follow-up, Employment Verification, Closure/Exit Reason, Miscellaneous Documents

The file format is ideally suited for a six tab file folder as there are six sections, however adjustments may be made for folders with fewer tabbed sections.

Six section folders- The set-up is one section per tab, working from left to right and moving through the numbers sequentially once the folder is opened.

- Section One should be the on the first (left hand) tab once the folder is opened
- Section Two on the next tab
- Section Three on the third tab
- Section Four on the fourth tab
- Section Five on the fifth tab
- Section six on the last (right) tab

Four section folders- The set-up is as follows:

- Section One should be on the first (left hand) tab once the folder is opened
- Sections Two and Three on the next tab - Section Two and corresponding documentation will be on the bottom with Section Three and corresponding documentation on top.
- Section Four will be on the third tab,

- Sections Five and Six will be on the last tab- Section Five and corresponding documentation will be on the bottom and Section Six and corresponding documentation will be on top.

Two section folders- The set-up is three sections per tab, working from left to right.

- Sections One, Two and Three will be on first tab- with Section One and corresponding documentation on the bottom, then section Two and corresponding documentation, and finally Section Three and corresponding documentation on top.
- Sections Four, Five and Six will be on the last tab- with Section Six on Top, then Section Five, and Section Four on the bottom.

Participant File Folder Cover/Labeling Format

In an effort to protect and safeguard participants' personal information, sensitive and/or personally identifiable information (PII) should not be displayed on participant file folder cover/ labeling.

The following list contains allowable information that can be listed on the participant file folder cover/label:

- Participant Name
- Program Name (Adult, Dislocated Worker, Youth)
- Participation Date
- Center Name
- Case Manager
- Service Provider
- VaWC State Identification Number

The following list contains information that should **not** be listed on the participant file folder cover/label:

- Social Security Number (SSN)
- Date of Birth
- Other sensitive/personally identifiable information (PII)

Implementation

The participant file format must be used for all new participant files beginning July1, 2014.