

ALABAMA WORKFORCE INVESTMENT SYSTEM

Alabama Department of Commerce
Workforce Development Division
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May 25, 2017

GOVERNOR'S WORKFORCE INNOVATION DIRECTIVE NO. PY2016-12

SUBJECT: Guidance Related to WIOA Participant File Organization

1. **Purpose** This Directive specifies a standardized order of documentation within Workforce Innovation and Opportunity Act (WIOA) participant files in all Career Centers Statewide.

2. **Discussion** The Workforce Innovation and Opportunity Act (Section 185 (a) (3) *Maintenance of Standardized Records*), states that:

In order to allow for the preparation of the reports required under subsection (c), such recipients shall maintain standardized records for all individual participants and provide to the Secretary a sufficient number of such records to provide for an adequate analysis of the records.

The following information is required by federal regulations and state policy for all WIOA program participants, and must be maintained in a hard copy format in the permanent case file for each WIOA Adult, Dislocated Worker, National Emergency Grant, National Dislocated Worker Grant, and Youth participant:

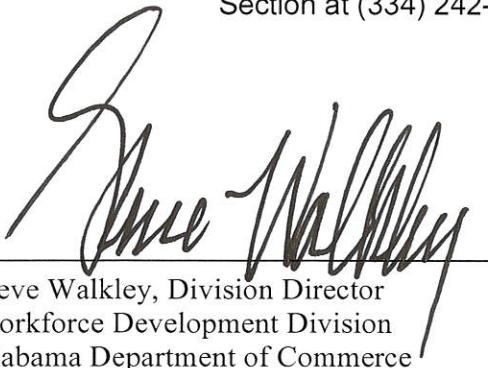
- WIOA Registration Form
- WIOA Program Eligibility Documentation
- Educational Functioning Level Assessment Test and Aptitudes/Interests, Individual Employment Plan and Individual Service Strategy
- Required Program Participation Forms (EO, Grievance, Information Release, Drug Policy)
- Case Notes
- Exit Documentation (Credential, Proof of Employment, AJL Exit Printout)

The Benefits of a standardized file structure include:

- Consistency among Career Centers and Providers
- Assistance in providing Priority of Service
- Established procedures for obtaining relevant documentation for WIOA eligibility
- Differentiation between eligibility and data validation
- Simplification of internal and external monitoring
- State and local area monitors will expect to see participant file documents in the approved order

3. **Action** Effective immediately, all Local Workforce Development Areas, Career Center Staff and Service Providers must implement the new file order. When Staff are working in currently active files, they should put all WIOA Adult, Dislocated Worker and Youth hardcopy documents in the specified order.

4. **Contact** Questions regarding this Directive should be referred to Melody Koorangi, Supervisor, Workforce Development Division, State Program Integrity Section at (334) 242- 5175 or melody.koorangi@commerce.alabama.gov.



Steve Walkley, Division Director
Workforce Development Division
Alabama Department of Commerce



6/7/2017
Date

STATEWIDE POLICY ON WIOA FILE ORGANIZATION

Participant File Order

Left Side of Folder (Bottom to Top)

- Customer Information Form
- Documentation Log with all documents attached:
 - Proof of Age
 - Copy of Photo ID
 - Copy of SS Card
 - Proof of US Citizenship
 - Selective Service – if Applicable
 - Family Size
 - Income Verification
 - Pay Stubs, UI Wage, SSI, Child Support, etc.
 - Food Stamp Verification
 - Barriers – document all that apply
 - Any other documents that are used to determine eligibility
- AJL Client Status Sheet / Eligibility Verification
- Testing Information
 - TABE Scores
 - Aptitudes/Interests
- Customer Agreement
- Participant Information Release
- Grievance and Complaint Procedures
- College Release Form
- Employment Information Form
- ITA Packet with required information attached
- Acceptance Letter
- Financial Aid Info
- ITA/IR Rules and Responsibilities
- Drug Screen & Physical – if applicable
- IEP/ISS Form

Right Side of Folder (Bottom to Top)

- ITA Forms:
 - Part I Enrollment
 - Amended Part I – if applicable
 - Failure to Report – if applicable
 - Report of Termination
- Services Screen Shots – Some include:
 - Intensive Services
 - Training Services
 - Enrolled in Education
- Grades/Schedules
- Exit Form
 - Proof of Credential
 - Proof of Employment
 - AJL Exit printout
- Correspondence
 - All program notes to include follow up program notes