

ODJFS Office of Workforce Development

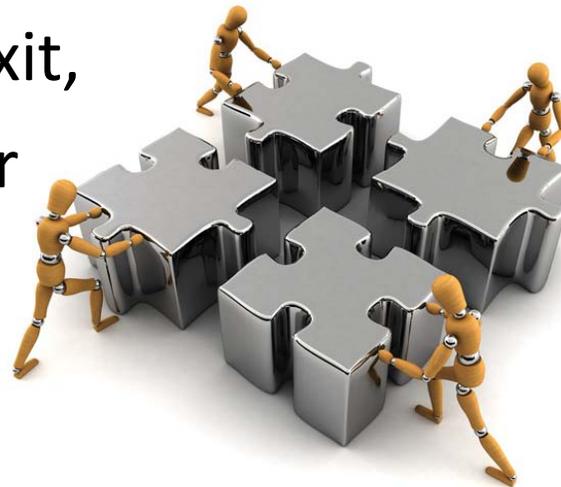


Dislocated Worker Program
File Documentation
March 18, 2011

Dislocated Worker (DW) Program Files

This training provides guidance and suggestions for **complete** and **compliant** files based on U.S. Department of Labor, WIA laws, regulations, and state policies.

From core services through exit, documentation is required for all WIA program participants.



Topics to be covered today.....

Mandatory documentation points for:

- DW eligibility
- Delivery of C-I-T services
- Additional participant file requirements
- Case Notes
- Follow-up / follow-along
- Recent audit issues



Purpose of Case Files

Participant files tell the story.....

Justify the provision of services and expenditure of funds from the WIA program dislocated worker funding source.

Failure to maintain case files can result in:

- ✓ Questioned costs
- ✓ Ineligibility for customers
- ✓ Lots of work in the long run

U.S. Department of Labor (DOL)

In 2010, a DOL monitoring team reviewed participant's files from selected Workforce Investment Areas.

During their review, they noted many files that were

- Missing documentation,
- Containing incomplete forms, and
- Lacking supporting information.



Audit Revealed Some Common Themes



- Failure to document “unlikely to return” to industry or occupation
- Insufficient justification for “in need of training”
- Failure to document that training was in an area of occupational demand
- Failure to document “in need of supportive services”
- Lack of case notes
- Lack of or insufficient Individual Employment Plans

Barriers to Accurate & Efficient Files

- Caseload size
- Data collection and validation requirements
- Differing eligibility factors
- File requirements based on funding sources
- Staff turnover
- Time commitment required
- Lack of or unawareness of local WIB policies



A file checklist can help ensure all requirements are met!

Documenting Dislocated Worker Eligibility



Documenting Dislocated Worker Eligibility.....



But first a word about Core Services!

Core Services (both Adult and DW)

- Requires minimal documentation
- None for universal customers – but still required for reporting self-service numbers
- Little for staff-assisted or “registered core services”
- Need for more specific documentation to back up eligibility is required at the intensive services level

**Watch for more information and State policy
on documentation requirements for core service eligibility soon!**

DW Eligibility Documentation

At point of intensive services!!!

- Authorization to Work
- Proper Selective Service Registration
- Age
- Dislocated Worker Category

Note: In the absence of State or DOL definition of terms, use locally established definitions – consistently!

Source Documentation for Eligibility

Workforce Investment Act Transmittal Letter (**WIATL**) **27*** contains acceptable documentation sources for establishing dislocated worker eligibility. WIATL 27 is based upon USDOL **data validation** requirements and state policy.

- **Physical evidence** is required in each participant's files.
- **Self-attestation** is acceptable for some data elements – but still must be recorded in the files.

*WIATL 27 is available at:

<http://jfs.ohio.gov/owd/WorkforceProf/Docs/SourceDocumentationforWIAEligibility.pdf>

What is “Self-Attestation”?

When a participant states his or her status for a particular data element and then signs and dates a form acknowledging this status. Key elements are:

- The participant identifying his or her status for permitted data element(s)
- The signing and dating of a form attesting to this self-identification.

Per USDOL TEGL 31-09, Issued June 11, 2010

“Program Year 2009 / Fiscal Year 2010 Performance Reporting and Data Validation Timelines”

Requirement– Authorization to Work

- Citizens and nationals
- Lawfully admitted permanent resident aliens, refugees, asylees, and parolees
- Other immigrants authorized by the Attorney General to work in the United States

Documentation – Authorization to Work

- U.S. passport, certificate of U.S. citizenship, certificate of naturalization, permanent resident card, unexpired refugee travel document
- Birth certificate
- U.S. Social Security card issued by the Social Security Administration (other than a card stating not valid for employment)
- Cross match with public assistance records via state MIS system
- Other public assistance records (CRIS-E printout)
- Self-attestation

Requirement – Age

All dislocated workers must be age 18 or older.

Documentation - Age

- Birth Certificate
- Baptismal Record if Date of Birth is Shown
- DD-214 Transfer or Discharge Papers
- Hospital Record of Birth
- Driver's license
- State, Federal, or Local Government ID
- Passport
- Work permit
- Cross match with public assistance records via state MIS system
- Other public assistance records (CRIS-E printout)
- School Records
- Tribal Records



Requirement – Proper Selective Service Registration

All males born on or after January 1, 1960 must be registered for Selective Service as required under the Military Selective Service Act.

Documentation – Proper Selective Service Registration

- Selective service card
- Verification from the Selective Service web site at <https://www4.sss.gov/regver/verification1.asp>.
- Self-attestation form if an applicant failed to register, is too old to register, or if the local areas determined that the failure to register was not willful and knowing.

Documenting the Category



Must meet at least 1 of 4 categories

- No one category is “better” than another
- Choose 1 and document it!
- Some easier to document than others
- File **MUST** clearly indicate which category the participant meets

Failure to fully document the category was a significant concern during the recent USDOL audit!!

Category A

1. Is terminated, laid off, or received notice of termination or layoff from employment

AND....

Is eligible for or has exhausted unemployment benefits (UI)

OR...

Has been employed for a sufficient time to demonstrate attachment to the workforce but is not eligible for UI due to insufficient earnings or having performed services for an employer not covered by UI

AND...

Is unlikely to return to previous industry or occupation

Category A Documentation

1. Proof of employment with layoff employer
2. Proof of termination or layoff
3. Proof of UI status (claimant or exhaustee) *
4. Proof of “Unlikely to return to previous industry or occupation”

•*or proof of attachment to the workforce but UC ineligible due to insufficient earnings or services not covered by UC law*

See Page 10 of WIATL 27, Source Documentation for WIA Eligibility

WPRS and DW Documentation

Worker Profiling and ReEmployment Services (WPRS) and ReEmployment Eligibility and Assessment (REA) documents meets the Category 1 for:

1. Laid off
2. UC Claimant
3. Unlikely to return to industry or occupation

See Page 10 of WIATL 27, Source Documentation for WIA Eligibility

For more information, See WIATL 24 at:

<http://jfs.ohio.gov/owd/WorkforceProf/Docs/WIATL24WorkerProfiling-2.pdf>

Category B

I. Has been terminated or laid off, or has received a notice of termination or layoff from employment as a result of any permanent closure of or any substantial layoff at a plant, facility, or enterprise

OR...

II. Is employed at a facility where the employer has made a general announcement that such facility will close within 180 days

OR...

III. For purposes of eligibility to receive services other than training services in Section 134(d)(4A), intensive services in Section 134(d)(3), or supportive services, is employed at a facility at which the employer has made a general announcement that such facility will close

Category B I. Documentation

I. Terminated or laid off, or received a notice of termination or layoff from employment as a result of any permanent closure of, or any substantial layoff at a plant, facility, or enterprise

- A. Proof of employment with an employer that closed or is experiencing substantial layoffs
- B. Proof of termination or layoff
- C. Proof of closure or substantial layoff

See Page 11 of WIATL 27, Source Documentation for WIA Eligibility

Category B II. Documentation

II. Is employed at a facility at which the employer has made a public announcement that such facility will close within 180 days

A. Proof of employment in closing facility

B. Proof of a public announcement of closure within 180 days

See Page 11 of WIATL 27, Source Documentation for WIA Eligibility

Category B III. Documentation

III. For purposes of eligibility to receive services other than training services described in Section 134(d)(4A), intensive services described in Section 134(d)(3), or supportive services, is employed at a facility at which the employer has made a general announcement that such facility will close (must document A and B).

- A. Proof of employment at closing facility
- B. Proof of announcement

Category C

Was self-employed (including employment as a farmer, a rancher, or a fisherman) but is unemployed as a result of natural disasters; or general economic conditions in the community where the individual resides.

Category C Documentation

Self -Employed individual, including employment as a farmer, a rancher, or a fisherman but is unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters

- A. Proof of self employment
- B. Proof of business failure

See Page 12 of WIATL 27, Source Documentation for WIA Eligibility

Category D and Documentation

Is a Displaced Homemaker.

Displaced Homemaker definition:

An individual who has been providing unpaid services to family members in the home who:

- A. has been dependent on the income of another family member but is no longer supported by that income, AND
- B. is unemployed or underemployed and is experiencing difficulty upgrading or obtaining employment
- C. is experiencing difficulty upgrading or obtaining employment

Category D and Documentation

Displaced Homemaker – Must document all 3 conditions:

- A. has been dependent on the income of another family member but is no longer supported by that income, AND
- B. is unemployed or underemployed and is experiencing difficulty upgrading or obtaining employment
- C. is experiencing difficulty upgrading or obtaining employment

See Page 12 of WIATL 27, Source Documentation for WIA Eligibility

Category D - Underemployed

Suggestion:

If the individual is “underemployed”

1. Could be tied to local definition of self-sufficiency for employed dislocated workers if the applicant is a family member/spouse of a laid off worker
2. Could be tied to local definition of self-sufficiency for employed adults if the applicant’s loss of income is due to death, separation, medical condition prevents from working

See Page 12 of WIATL 27, Source Documentation for WIA Eligibility

DOL Finding – Unlikely to Return

Category A only.....

DOL could not find documentation that case managers had evaluated the participant against the criteria "**unlikely to return to a previous industry or occupation**", and how it was documented in the file.

The participant's file must objectively document that an individual is "**unlikely to return to a previous industry**" or occupation as part of a positive determination of Dislocated Worker eligibility as defined in WIA Section 101(9)(A).



Local Definition - Unlikely to Return

Category A only.....

In the absence of a state or DOL definition....

The local area may have a local definition for **“Unlikely to Return”** through Workforce Investment Board (WIB) policy.

The WIB policy rationale for each of these definitions must be clearly evident, and in the cases where they are applied, **documentation** must be in the file to show how the participant meets this definition.

Documenting Unlikely to Return

Category A only.....

Unlikely to return to previous industry or occupation documentation may include:

- Local approval letter/form based on local LMI data and local conditions
- Printout screen shots from state or local LMI data
- OCIS printout
- Other appropriate documentation based on local definition
- Self-attestation

See Page 10 of WIATL 27, Source Documentation for WIA Eligibility

Use Labor Market Information

1. Hover over "Data"
2. Select Projections
3. Click "Ohio Job Outlook"
4. Select the EDR & Display

The screenshot shows the Ohio Department of Job and Family Services website. The main navigation bar includes links for Home, Data, Tools, Jobs, Education, Careers, Coding, Maps, Links, Site Map, and Contact Us. A dropdown menu is open under 'Data', with 'Employment Projections by Occupation & Industry' selected. The page title is 'Ohio Labor Market Information' and the sub-section is 'Employment Projections'. The content area lists various reports, including 'Ohio Job Outlook' and 'Buckeye Top Fifty'.

The screenshot shows the 'Ohio Job Outlook Publications' selection interface. It is divided into five steps:

- Step 1: Select Area**: Areas Type: **Ohio to 2016** | MSAs to 2016 | EDRs to 2016
- Step 2: Select Report**: Report: Introduction [pdf], EDR 1 - Central [pdf & Excel], EDR 2 - Northwest [pdf & Excel], EDR 3 - West Central [pdf & Excel], EDR 4 - Southwest Central [pdf & Excel], EDR 5 - Southwest [pdf & Excel], **EDR 6 - North Central [pdf & Excel]**, EDR 7 - Southern [pdf & Excel], EDR 8 - Northern [pdf & Excel], EDR 9 - Northeast Central [pdf & Excel], EDR 10 - East Central [pdf & Excel], EDR 11 - Southeast [pdf & Excel], EDR 12 - Northeast [pdf & Excel]
- Step 3: View Report Description**: Description: EDR 6 - North Central [pdf & Excel]. 2016 industry and occupational projections for the North Central Economic Development Region, including Ashland, Crawford, Huron, Knox, Marion, Morrow, Richland, Seneca, and Wyandot Counties
- Step 4: Select Report Format** (not all reports available in all formats): pdf | Excel | PowerPoint
- Step 5:** **Display** | **Reset**

Use Labor Market Information

Southwest Central Ohio - Economic Development Region 4
Occupational Employment* Projections Report, 2006-2016

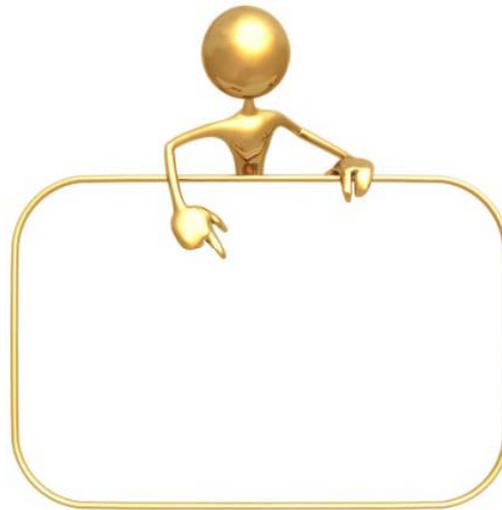
Code	Occupational Title**	Employment		Projected Change in Employment		Total Annual Openings**	Region Avg. Wage Nov. 2008**	Education Training Level†
		2006 Annual	2016 Projected	2006 - 2016	Percent			
00-0000	Total, All Occupations	581,100	594,700	13,600	2.3%	17,103	NA	NA
11-0000	Management Occupations	26,100	26,130	30	0.1%	657	NA	NA
11-1021	General and Operations Managers	5,760	5,470	-290	-5.0%	139	\$48.88	4
11-2021	Marketing Managers	320	360	40	12.5%	11	\$50.92	4
11-2022	Sales Managers	730	750	20	2.7%	18	\$49.26	4
11-2031	Public Relations Managers	110	130	20	18.2%	4	\$43.81	4
11-3011	Administrative Services Managers	530	560	30	5.7%	17	\$38.22	4
11-3021	Computer and Information Systems Managers	800	870	70	8.7%	20	\$53.52	4
11-3031	Financial Managers	1,160	1,240	80	6.9%	25	\$45.81	4
11-3041	Compensation and Benefits Managers	130	140	10	7.7%	4	\$44.36 OH	4
11-3049	Human Resources Managers, All Other	150	160	10	6.7%	4	\$49.66 OH	4
11-3051	Industrial Production Managers	900	740	-160	-17.8%	31	\$43.45	8
11-3061	Purchasing Managers	320	280	-40	-12.5%	9	\$40.55	4
11-3071	Transportation, Storage, & Distribution Managers	370	340	-30	-8.1%	11	\$42.24	8
11-9011	Farm, Ranch, and Other Agricultural Managers	160	160	0	0.0%	1	\$27.98 OH	4
11-9012	Farmers and Ranchers	3,150	2,900	-250	-7.9%	28	NA	9
11-9021	Construction Managers	760	880	120	15.8%	24	\$46.58 OH	5
11-9031	Education Admin., Pre & Child Care Center/Prog.	240	300	60	25.0%	13	\$19.02	4
11-9032	Education Admin., Elem. & Secondary School	1,430	1,520	90	6.3%	49	\$95,490 ++	4
11-9033	Education Administrators, Postsecondary	190	220	30	15.8%	8	\$50.31 OH	4
11-9041	Engineering Managers	920	840	-80	-8.7%	19	\$51.67	4
11-9051	Food Service Managers	1,680	1,750	70	4.2%	47	\$22.12	8
11-9061	Funeral Directors	160	110	-50	-31.3%	4	\$30.07 OH	6
11-9081	Lodging Managers	100	100	0	0.0%	2	\$24.60 OH	8
11-9111	Medical and Health Services Managers	1,040	1,180	140	13.5%	34	\$39.37	4
11-9141	Property, Real Estate & Community Assn Mgrs	220	260	40	18.2%	7	\$32.09 OH	5
11-9151	Social and Community Service Managers	190	230	40	21.1%	8	\$28.19	5
11-9199	Managers, All Other	2,570	2,750	180	7.0%	69	\$47.91 OH	8
13-0000	Business and Financial Operations Occupations	25,500	28,230	2,730	10.7%	739	NA	NA

Projected growth for the area is 2.1%

Documentation – Receipt of Complaint Procedures (EEO form)

- Files must contain evidence that participant has been provided information on procedures to file a complaint (discriminatory or programmatic).
- Each file should contain signed documentation that each Dislocated Worker is aware of his/her rights to fair treatment.

Documenting Services



DOL Findings - Documenting Services

- Files did not contain documentation of the “sequence of services”.
- The IEP did not connect the individual's objectives to the plan of services to meet the employment goals.
- The file did not show that the participant was determined to have the skills and qualifications to successfully complete the training program services documented by an interview, case management, evaluation, assessment and as documented in case notes.
- Files did not document the individual’s needs for the payment of supportive services.

Documentation - Core Services

WIA requires that individuals receive at least one core service (for example WIA Eligibility Determination) prior to receiving **Intensive** services and be individuals:

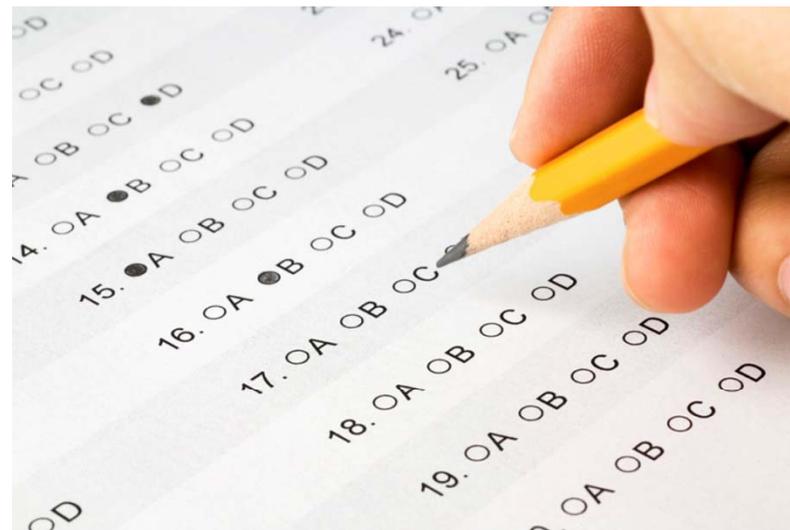
- Who are unemployed and are unable to obtain employment through core services, and who have been determined by a One-Stop operator to be in need of more intensive services in order to obtain employment, or
- Who are employed, but who are determined by a One-Stop operator to be in need of such intensive services in order to obtain or retain employment that allows for self-sufficiency.
- Evidence of each needs to be documented in the file.

Suggestion.....

“Gateway Services form” – listing of core service(s) received, statement of inability to obtain or retain employment

Documentation - Intensive Services

The need for intensive services is established by the initial assessment of the individual's inability to obtain employment through core services.



Dislocated Workers & Intensive Services

An unemployed Dislocated Worker who cannot find employment via core services may receive **intensive services**

if

the case manager determines such services are necessary for the customer to obtain employment.

Documentation - Self-Sufficiency

**For intensive and training
services for Dislocated
Workers,
self-sufficiency may
apply.**

Dislocated Workers & Intensive Services

➤ An employed Dislocated Worker may also receive intensive services if his/her job qualifies as interim*, stop gap*, or temporary employment*,

and

➤ the case manager determines intensive services are necessary to obtain a job that leads to self-sufficiency.

In the absence of state or DOL definition, follow local definition consistently!

Dislocated Workers & Intensive Services

Self-sufficient employment for a dislocated worker is defined by the local WIB policy.

The WIB policy should include documentation requirements.

Files are monitored against your local WIB policy.

Documenting Intensive Services

Dependent upon type of Intensive Service received.

Typically includes comprehensive assessment that includes:

1. **Work History** - obtained by interview, participant statement
2. **Education** - participant statement, diplomas, school transcripts, etc.
3. **Occupational Skills** - skill assessments, work and life experience, training certificates, educational records, participant statement
4. **Interests** - participant statement, formal occupational interest assessment, formal occupational assessment.

Documenting Intensive Services

Assessment typically includes, cont.

5. **Aptitudes** - work and life experience, educational records, formal occupational aptitude assessment
6. **Aptitudes and Interest** in Nontraditional Occupations – participant statement, work and life experience, educational records, formal occupational aptitude assessment
7. **Employment Barriers** - formal or informal assessment, participant statement
8. **Financial Resources and Needs** - documentation of income, records of public assistance, participant statement, statement from debt management agency
9. **Supportive Service Needs** - formal or informal assessment, participant statement, documentation of income

DOL Findings – Training

IEP: Files contained incomplete Individual Employment Plans (IEP) and services were not documented.

Demand Occupations: Files did not document how training program was directly linked to employment opportunities in the area or **demand occupations**.

Pell Grant: Files did not contain evidence that the participant has applied for financial aid (PELL).

Skill Attainment: Files did not contain information that documented skill was attained from classroom training.

Requirements for Training Services

- Individual meets the requirements for intensive services.
- After an interview, evaluation, or assessment, and case management, the individual is in need of training services and has the skills to successfully complete the services.
- The training is directly linked to employment opportunities in the local area or the area to which the individual is willing to relocate.
- The individual is unable to obtain grant assistance from other sources such as Pell Grants, Trade Adjustment Assistance, and State-funded training funds.

Each of these must be documented!

Documenting Training

Eligibility and the need for training services is supported by and documented that meets the following criteria:

1. Participant has been determined to be unable to obtain or retain employment through intensive services (already documented at point of enrollment into intensive services).
2. Participant has been determined to be in need of training services (through interview, case management, evaluation or assessment and as documented in case notes).
3. Training is linked to employment opportunities in the local area or the area to which the individual is willing to relocate (combination of case notes, LMI, letter of hire, or other locally developed format).

Documenting Pell Grants

The files should include documentation of the application of Pell Grants. This includes:

1. Case Notes
2. Documentation from educational institution indicating eligibility for or denial of aid
3. Documentation indicating the training program does not qualify for financial aid

Please note: Follow your local WIB policy regarding the use of Pell grant funds.

Building a Comprehensive IEP

Eligibility for **intensive services** is documented by the development of an **Individual Employment Plan (IEP)** which may include:

1. Is based on the results of assessment (the IEP should include activities and services to address issues identified by the assessment).
2. Is jointly developed (**signed and dated**) by the case manager and the participant (statement or other evidence that IEP was jointly developed and agreed to by the participant and the case manager).
3. The participant's employment goals (primary and secondary employment goals) are identified.
4. Appropriate achievement objectives (interim objectives and planned outcomes) including who, what, when, where, and how are identified.

Building a Comprehensive IEP

5. Appropriate combination of services to achieve the employment goals such as a service strategy which identifies activities, planned and actual beginning and ending dates, service providers, other services identified in IEP that are same as those recorded in SCOTI.

6. Is regularly updated (updates are made as required by local policy or as warranted by changes to the plan or the participant's circumstances).

7. Identifies/includes non-WIA funded services that are part of the strategy to address needs and achieve goals.

Documentation - Demand Occupations

1. Finding Demand Occupations
2. Related Occupations
3. Using O*NET to document:
 - Skills transfer
 - By tools and technology background
 - By descriptor of the knowledge, skills, abilities, work activities, interests, and/or work values



See the following website <http://ohiolmi.com/jobs/careers.htm>

Ohio Labor Market Information

Home ▾ Data ▾ Tools ▾ Jobs ▾ Education ▾ **Careers ▾** Coding ▾ Maps ▾ Links ▾ Site Map ▾ Contact Us ▾

Explore career opportunities

Careers

Also visit [Education & Training](#)
and [Job Information](#).

What's Hot in Ohio?

Identifying occupations with favorable job prospects is important when making career decisions. [Career Opportunities: Occupation Trends](#), in pdf, tells more.

Explore Careers

- **TOOL** ▶ [Ohio Occupational Profiles](#) supplies wages, skills, education and job outlook.
- **TOOL** ▶ [Occupations by Education and Wages](#) allows you to view occupations for education, training and wage levels you specify.
- **TOOL** ▶ [Career Exploration](#) with Job Postings, Training and Occupational Summaries. Includes average wages, projected openings, summary information, job postings and training options.
- [Ohio's Job Outlook](#) projects industry and occupation employment.
 - [Buckeye Top Fifty](#), in pdf, lists high-wage occupations in Ohio that are in demand and are projected to stay in demand.
 - [Career Opportunities: Occupation Trends](#), in pdf, is a pamphlet identifying occupations with more favorable job prospects.
 - [High Occupations Prospects](#), in pdf, lists occupations with at least 50 annual openings and an average wage of \$14.85 per hour, sorted by education and training level.
- The [Occupational Outlook Handbook](#) tells you about the training and education, earnings, job prospects, job duties and working conditions for hundreds of different types of jobs -- such as teacher, lawyer and nurse.
- [Career Guide to Industries](#) provides career information by industry, including the nature of the industry, working conditions, employment, occupations in the industry, training & advancement, earnings & benefits and employment outlook.
- [CareerOneStop](#) allows you to explore careers and education & training resources. [Career Videos](#)  are available for more than 500 occupations.
- [Licensed Occupations](#), in pdf, lists the number of [Active Licenses](#) and [Newly Issued Licenses](#) in Ohio. Also see [License Contact Information](#) for States and Territories



DOL Finding – Training Documentation

Must document program was completed and diploma/degree earned:

- Case notes
- Certificate
- Diploma
- License (regular driver's license is excluded)
- Survey
- Transcript that shows a degree or diploma was earned
- Training provider official communication including degree/diploma type, date awarded, name of institution, participant's name, and name, title, and phone number of individual providing information

DOL Finding – Failure to document Supportive Services Need

Supportive Services may only be provided to individuals who are:

- Participating in core, intensive, or training services, and
- Unable to obtain supportive services through other programs providing such services.

They may only be provided when they are necessary to enable individuals to participate in the WIA program.

Local areas are required to have a supportive services policy – follow it consistently! Documentation must be based on the local policy!

DOL Finding – Follow-Up Services

The files did not include documentation that showed follow-up services were conducted.

Documentation can include:

1. Copies of follow-up letters, materials, etc.
2. Activity sheets, attendance rosters
3. Information from employer
4. Receipt for follow-up support services
5. Case notes (including “attempts” to contact)



Note: Follow up is federally defined as beginning the 1st day of employment– follow along is expected throughout participation and documented through case notes

DOL Finding – No Case Notes

Files and SCOTI did not contain case notes.

Case notes are made at regular intervals during customer's participation documenting contacts, events, services, etc.

Case notes are sometimes allowed as acceptable documentation – that is, physical evidence – for eligibility factors (ODJFS WIATL 27).

Documentation - Case Notes

Don't comment on details that are not relevant to the Dislocated Worker's activities. Record facts only – behaviors you observed and statements you heard.

Never include judgmental opinions, stereotypical comments, or any offensive statements.

If you must state an opinion about the participant's progress, be sure to label your statement as an opinion.

Use clear, simple, concise language, including professional terminology if appropriate. Don't use slang or street language, clichés, or jargon. Avoid metaphors or similes; just say what you mean directly.

Monitoring Files



Conducting Internal Reviews

The internal review of files is critical for maintaining quality.

WIA Area should establish policy and processes for conducting these reviews.

These reviews should be conducted on a **regularly scheduled basis.**



File Review Options

The WIA Supervisor (or equivalent) or a designee can conduct the reviews and provide feedback to the case manager.

Peer Review teams can also review files and can offer:

- Testing form formats for enhancements
- Consistency of case notes
- Uniform completion of forms

These reviews should be kept in the file to document your efforts.

Other Filing Suggestions & Helpful Hints

- Research best practices.
- Adapt forms to meet your needs.
- Do not leave blanks-instead use “N/A” for not applicable.
- Network with others for enhancements to your file processes.
- Case managers use SCOTI to the fullest extent as both a reporting and a case management tool. DOL looks at the case notes in SCOTI.

Ultimate Goal

To create and follow an efficient filing system that includes all required information and documentation.



Questions?

