

**Southern Nevada Workforce Investment Board
General Policy & Procedure
CLIENT RECORD DOCUMENTATION REQUIREMENTS**

EFFECTIVE DATE: March 1, 2007

NUMBER: 3.10

Supercedes Policy 3.10r dated July 11, 2003

Approved by the SNWIB on February 28, 2007

BACKGROUND:

In order to assure that all information is specific to the services received by individuals receiving services under the Workforce Investment Act, Title I, the Southern Nevada Workforce Investment Board (SNWIB) has established the following requirements for the documentation that must be maintained in each client file. [Reference: SNWIB Policy 3.2; 29CFR 97.20 (b) (6)]

GENERAL PROVISIONS FOR SERVICE DOCUMENTATION

The following documentation is required to be maintained in each client's file in order to facilitate the determination and appropriateness of WIA services that have been provided to participants:

- A. Eligibility – The following documents should be maintained in the eligibility section of client case files (reference: MIS Client Tracking Manual, Appendix D, for appropriate forms of documentation):
1. Completed Registration Form – To include proof of the following when applicable (*please refer to SNWIB Policy 3.0, "Eligibility for WIA Title I Services to ensure all required documents are In participant's file"*).
 - a. Age
 - b. Social Security Number
 - c. Selective Service (if applicable)
 - d. Eligibility to work in the United States (*reference SNWIB Policy 3.0*).
 - e. Income (if applicable)
 - f. Youth barriers (if applicable)
 - g. Dislocated worker eligibility (if applicable)
 - h. Signature of client verifying the receipt of EEO & Grievance Process information.
 - i. Documentation to verify that participant received SNWIB Grievance Policy/Procedure
 - j. Signed release of information form
 - k. **Veterans Status (if applicable)**
- B. Adults/Dislocated Workers (when applicable Youth) – The following documents must be maintained in client case files:
1. **SNWIB MIS applicable** Activity Forms, Outcome Forms, and Information Change Forms
 2. Documentation and justification of services provided in order to validate movement of client services to each level of services (core, intensive, and training)

3. An initial assessment and all required case management elements in order to have a completed Individual Employment Plan. (IEP) [*Reference: SNWIB Policy 3.2*].
4. Training services: Documentation of demand occupation required.
5. Support Services: Documentation of requests, including justification and back-up (i.e., lease agreements, utility bills, quotes from bookstores, etc.), as well as copies of checks or vouchers issued including client's signature acknowledging receipt of Support Services.
6. Fully executed contracts/vouchers/agreements of training services and/or work experiences and internships:
7. Attendance Records that contains proof of attendance in any WIA Title I activities that are validated with signatures of clients who are in receipt of services.
8. Paid Activities: Copies of the client's W-4 and I-9 that must be prepared prior to the start of such activities.
9. Credentials Attainment: Copies of any credentials, including GED certificates, High School Diplomas, or Occupational Skills attainment certificates.
10. Follow-up/Case Management Activities: Documentation of contact for determination of need for follow-up services (no less than monthly, unless otherwise indicated by the client as being unnecessary/unwanted).
11. **EEO Forms, Client Release of Information Forms, Acknowledgement that clients were in receipt of SNWIB/State/Federal applicable Grievance policies and procedures Forms, Conflict of Interest Forms (*reference: SNWIB Code of Ethics Policy 1.5*)**

C. Youth Services – The following documents are required to be maintained in Youth client records:

1. SNWIB Activity Forms, Outcome Forms, and Information Change Forms
2. Assessment of client basic skill levels for math and reading must be conducted and results included in the case file prior to development of an Individual Service Strategy.
3. Completed Individual Service Strategy, to include a youth's objective assessment, performance measure goal (***indication as to which performance measure and/or measures will be applicable to the participant***) with timelines and **documentation for the process and strategies to assist the client in achieving objectives.**
4. Occupational training services: Documentation of demand occupation.

5. Support Services: Documentation of requests, including justification and back-up (i.e., lease agreements, utility bills, quotes from bookstores, etc.), as well as copies of checks or vouchers issued including client's signature acknowledging receipt of Support Services.
6. Contracted Training Services or Work Experience/Internship: Copies of the fully executed contracts and/or vouchers.
7. Paid Activities: Copies of the client's W-4 and I-9 that must be prepared prior to the start of such activities.
8. Attendance Records which contain proof of attendance in any WIA Title I activities which is validated with signatures from clients in receipt of services/activities.
9. Credentials Attainment: Copies of any credentials, including GED certificates, High School Diplomas or Occupational Skills attainment certificates.
10. Follow-up/Case Management Activities: Documentation of contact for determination of need for follow-up services (no less than monthly, unless otherwise indicated by the client as being **(unwanted and/or not needed)**).