

**Southern Nevada Workforce Investment Board
General Policy & Procedure
YOUTH CASE FILE DOCUMENTATION REQUIREMENTS**

EFFECTIVE DATE: May 1, 2009

NUMBER: 3.10Y

Supersedes all youth references in SNWIB General Policies and Procedures 3.10r dated July 11, 2003.

AUTHORIZATION: SNWIB Manager

BACKGROUND:

In order to assure that sufficient and orderly information is maintained for individuals receiving services under the Workforce Investment Act, information should be maintained for each enrolled WIA client in an individual case file.

GENERAL PROVISIONS FOR CASE FILE DOCUMENTATION

All WIA participant individual case files are subject to review and monitoring by SNWIB, State DETR and/or Federal DOL. The following case file documentation guidance is provided for youth service providers. At a minimum the following information, as applicable, should be kept in case files:

I. Registration/Eligibility

- a) Completed and signed WIA Youth Program Application.
- b) Proof of documents used for eligibility, as applicable. Refer to *SNWIB Policy 3.0Y - WIA Youth Eligibility* and the *Eligibility Criteria and Documentation* matrix for appropriate forms of documentation.
- c) Client Release of Information, Acknowledgement of receipt of Grievance Policies and Procedures, Conflict of Interest Form, and EEO Policy. (*Note as of April 2009 this information was incorporated into the WIA Youth Application*)

II. Individual Service Strategy (ISS)/Assessments

- a. Completed ISS.
- b. Documentation of basic skills/educational assessment results as applicable. Note that it is a requirement that that all out of school youth are assessed for basic skills using approved testing instruments. (*Note that this is not a requirement for summer ARRA stimulus programming*)
- c. Documentation of other assessment results, as applicable. These include things such as transcripts, results of career/interest inventories, case notes from interviews, etc.

III. Case Notes

- a) Detailed notes that provide adequate information to understand the individual's goals, types of activities provided levels & types of program participation, achievements and other case management services provided.

- b) Summary case notes must also be entered in NJCOS that support data entry of services, outcomes and performance related information.
- c) At a minimum, one case note per month should be recorded.
- d) Further technical assistance regarding case notes can be provided upon request.

IV. Support Services

- a) Documentation of any supportive services paid for with WIA funds using the Supportive Services Log. This must include the date, type of service, justification, and cost/amount.. *See Policy 3.4 Supportive Services for further guidance.*
- b) Case note with justification of supportive service recorded in (NJCOS) case notes.
- c) A client signature acknowledging receipt of support services.
- d) As applicable, back-up documents for supportive services provided such as copies of checks, invoices, and receipts.
- e) As applicable, case note or other documentation of any referrals for supportive services.

V. Work Experience/Internships/Occupational Skills Training

- a) Copy of Work Experience/Internship Agreement.
- b) Copies of the client's W-4 and I-9 that must be prepared prior to the start of such paid activities.
- c) As applicable, copies of timecards, attendance records for paid activities, wage or stipends.
- d) As applicable, copies of Training Registration.
- e) As applicable, copies of any training vouchers.

VI. Activities "Services"

- a) Activities provided to youth should be documented in the NJCOS "services" tab or another data tracking tool provided by SNWIB as well as in case notes.
- b) The types of activities recorded could include the following (*those with an * indicates these on one of the WIA Elements*):
 - i. Work Readiness Skills Training (job readiness or pre-employment training)
 - ii. Summer Work Experience* (subsidized and unsubsidized)*
 - iii. Work Experience/Internships (subsidized and unsubsidized)*
 - iv. Job Shadow
 - v. Basic Skills/Literacy/Numeracy instruction
 - vi. GED Preparation
 - vii. Alternative Secondary School Educational Instruction*
 - viii. Preparation for Post-secondary Education
 - ix. Tutoring*
 - x. Computer Literacy Training

- xi. Financial Literacy Training
 - xii. Life Skills Training
 - xiii. Mentoring by Adults*
 - xiv. Leadership Development Opportunities*
 - xv. Occupational Skills Training*
- c) Activities where a monetary payment, incentives, wages or stipends are provided must be specifically be documented in the NJCOS “services” tab or other data tracking tool provided by SNWIB as well as in case notes.
 - d) In addition, attendance records should be kept in the case file that pertain to any activities in which youth receive monetary payments, incentives (including non-monetary), wages or stipends.

VII. Outcomes

- a) Copies of any certificates including GED, High School Diploma, or Occupational Skills attainment certificates. In particular those related to Common Measures Performance must be in the file.
- b) Copies of basic skill gains including copies of post-test scores (required for out of School youth who are determined to be basic skills deficient and who make a literacy numeracy gain related to Common Measures Performance.
- c) Copies of other types of certificates of completions or other achievements.
- d) Case notes indicating that outcomes were achieved.

VIII. Follow-up Services

- a) Case notes, post exit from program, must indicate contact and/or services attempted or provided during the 12-month follow-up period.
- b) Information pertaining to any achievements achieved post-exit that impact performance should be recorded in NJCOS or other data tracking tool provided by SNWIB as well as case notes.
- d. Follow-up services and case notes must be documented for a period of at least 12months following exit from the program. *(Note that this is not a requirement for summer ARRA stimulus programming)*

Note: For consistency of use by contractor and for compliance monitoring purposes, SNIWB suggests the use of either 4 fold or 6 fold file folders with sections containing specific information as follows.

6 Fold

Section 1:	Section 2:	Section 3:	Section 4:	Section 5:	Section 6:
Registration/ Eligibility	ISS Assessment	Case Notes Miscellaneous	Support Services	Activities Work Experience, Internships Occupational Training, OJT	Outcomes

4 Fold

Section 1:	Section 2:	Section 3:	Section 4:
Registration/ Eligibility ISS Assessment	Case Notes Support Services Miscellaneous	Activities Work Experience, Internships Occupational Training, OJT	Outcomes