

# FLORIDA CROWN WORKFORCE BOARD, INC. POLICY

**POLICY TITLE: One-Stop Service Provider Customer File  
Organization/Retention**

**POLICY NUMBER: OPS-004-02**

**DATE EFFECTIVE: May 17, 2002**

**DATE REVISED: July 20, 2010**

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## **APPLICATION**

Florida Crown Workforce Board, Inc. (FCWB) Employees, Contractors and Providers

## **PURPOSE**

To set forth and mandate Florida Crown Workforce Board, Inc. (FCWB) policies and procedures within the processing of this standardized file organization system to be utilized by the One-Stop Service Provider. This filing system will enable the FCWB and the Agency for Workforce Innovation (AWI) to review the customer's file for program eligibility and compliance issues of concern more effectively. This policy will aid in alleviating customer file inconsistencies.

This policy will be set forth and incorporated under the Workforce Investment Act (WIA), Welfare Transition Program (WTP) and the Welfare to Work Act (WtW), and the Florida Workforce Legislation (SB 2050).

## **POLICY**

To adapt a more structured filing system, the customer's file will be organized for the reviewing of program eligibility.

FCWB has an approved file programmatic review check-off form, which correlates with each program. The following forms listed below must be utilized according to program services being provided:

WIA/Adult/Dislocated Worker Eligibility and Services Review, WIA Youth Eligibility & Services Review, Welfare Transition Program, WtW 70% Hard-To-Employ Participant Eligibility & Service Review, WtW 30% Long Term Characteristics Participant Review, etc.

The following noted items must be adhered to for the assurance that the One-Stop Service Provider is meeting the customer's file compliance procedures/requirements as mandated by the FCWB and AWI:

1. Signatures must be provided for all forms, as applicable. File documentation without signatures are considered to be inadequate.
2. The One-Stop Service Provider staff person reviewing the file for eligibility documentation will place the programmatic review check-off form in front of the file as appropriate. All forms must be completed. Use of N/A is required if not applicable.
3. The file programmatic review check-off form will be signed and dated by the staff person reviewing the file. The One-Stop Service Provider, Program Manager or Quality Assurance Specialist (QAS) will review the file for approval. If the file is deemed correct and meets all criteria for the customer to receive services the QAS will initial and date check-off form.
4. To ensure that file documentation is accounted for, all required information by the FCWB and/or AWI should be placed in the file as appropriate.
5. As required by the MIS WIA General Instructions Booklet, both the customer and the certifying staff member must initial any/all whiteouts, cross-outs, write-overs or erasures on all eligibility determination documents.
6. **Identification** – For all programs, a copy of customer’s Social Security Card and Driver’s License or other form of picture identification will be obtained and placed in the file along with contact and emergency contact telephone numbers. For WIA participants, proof of citizenship shall be proved in the form of a Birth Certificate, Passport, Certificate of US Citizenship (INS Form N-560 or N561) or Certificate of Naturalization (INS Form N-550 or N-570). Pertaining to WIA youth participants, in the event a birth certificate cannot be obtained for an adopted or foster youth, a DCF printout verifying birth date and social security number will be acceptable identification. File copies (not the original cards) of social security cards for youth participants and minor family members are to be signed by the parent/guardian. All documentation provided should be maintained in the applicant’s file. The file label is to reflect only the last four (4) digits of the Social Security Number.
7. **Customer’s Expense Logs** – Customer’s Expense Log will be updated as services are provided. Paper files must be updated with pertinent information as needed to be consistent with computer data input.
  - All customers deemed eligible, must be key entered into the MIS system, before any financial services are issued. In the event that expenses are

incurred and the customer is found to be ineligible, these expenses will be considered disallowed costs.

- The Service Provider will forward a Consolidated Customer Expense Log Summary to FCWB on a weekly basis.
7. **Confidentiality Release Forms** – This form must be completed and signed by the customer and placed in the customer’s file.
  8. **Obligations and Opportunities Form** – This form must be signed by the customer and placed in the customer’s file.
  9. **Customer Activity Log** – Detailed information must be key entered in the customer activity log. Logs/notes will be updated to reflect the customer’s current situation, record their progress and identify their needs.
  10. **Customer Assessment Form** – This form must be signed by the customer prior to completion of the IRP and placed in the customer’s file.
  11. **Customer Satisfaction Surveys**-The Career Manager/Specialist will be responsible for mailing to all WIA participants a letter within two (2) days following the date of closure informing them that they may be called to participate in a customer satisfaction survey by telephone regarding services they have received. Copy of letter must be maintained in customer’s file. (USDOL/ETA)
  12. **Individual Employment Plan (IEP) – Individual Responsibility Plan (IRP)**  
A completed IEP/IRP must be included in each customer file and updated quarterly or on a semester basis. **This requirement is waived for purposes of the WINGS Program only.**
  13. **Grievance Forms** – Signed grievance forms are ‘**REQUIRED**’ in each case file. The customer and the Career Manager/Specialist must provide their signatures.
  14. **Workforce Investment Act Applicant Data Form** - All three pages must be completed and signed by customer and Career Manager/Specialist.
  15. **Job Search** – WIA customers must provide adequate job search information. Job Search documentation form must reflect “**unlikely to return**” for Dislocated Worker eligibility. (Not applicable for WIA Youth/Adults).

16. **Background Check** – Prior to enrollment in all workforce programs, background screens must be completed by the One-Stop Service Provider to determine suitability based on service requested.
17. **OSST/OSMIS System** – All Pell Grant information must be entered on the training screen along with the ITA amount, if applicable. It must be updated each semester.
18. **EEO Information** – Career Managers are to include in all active participant files in Section 1 the Equal Opportunity is the Law form with Peter De haan’s name and contact information on the lower portion of the form. This form is available for download in four (4) languages on the AWI website at <http://www.floridajobs.org/PDG/posters.html>.
19. **Customer Satisfaction Survey** – WIA Career Managers are to include in all participant files at time of closure a copy of the Customer Satisfaction Survey which has been discussed with participant.

## **FILE RETENTION**

Customer files are to be retained for a period of **three (3)** years from the date of closure, unless there are legal issues raised. In the event of a legal issue being raised, customer files are to be retained for five (5) years from the date of resolution of the legal issue.

Record destruction is to be performed in September of each year. Prior to destruction, all applicable files are to be gathered together, the stacked files measured, and the Executive Director and MIS Director of FCWB advised of the cubic foot measurement of the documents to be destroyed.

## **ACTION**

All FCWB Employees, Contractors and Providers will adhere to this policy.

Approved: *John Chastain*  
John Chastain, Executive Director