

**DATE ISSUED:** July 10, 2003  
**DATE REVISED:** January 3, 2014

**FROM:** Kate Probert Fagundes  
DWP/MFIP Employment Services Division Manager

**TO:** Ramsey County DWP/MFIP-ES Staff

**SUBJECT:** Revised MFIP/DWP File Management Reference Guide

**PURPOSE:** To establish system-wide file management procedures.

**BACKGROUND:** To provide guidance to MFIP/DWP Providers on establishing a system-wide file management procedure to ensure file integrity and a uniformed file assembly format. The MFIP/DWP File Management Reference Guide isn't agency specific. The intent of the file management guide is to provide general guidelines to ES Providers on assembling and maintaining participant files. Workforce Solutions isn't asking agencies to reassemble or change their existing file management system to adhere to the revised file management guide. The revised file management guide provides general guidance as to the type of documents that should be included in participant file folders. Folder sections may vary by agency, but the files must include all of the sections identified in the attached reference guide.

**IMPLEMENTATION or PROCEDURES:** When establishing new and transferred participant file folders, agencies must adhere to the attached file reference guide to assemble and maintain participant files. The 2003 Participant File Management Reference Guide is revised and no longer valid.

**EFFECTIVE DATE:** January 3, 2014

**WFS CONTACT:** Your agency Planner

**ATTACHMENT:** MFIP/DWP File Management Reference Guide

# DWP/MFIP-ES POLICY

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## ***MFIP/DWP File Management Reference Guide***

### **Information Section (1)**

|  |
|--|
| Client and family information :<br>(MAXIS printout, driver license/state ID, phone numbers, children names/birth dates, immigration documents, family special needs and other related documents) |
| WF1 Referral   |
| Intake Checklist & Initial Assessment  |
| Rights and Responsibilities  |
| Releases of Information  |
| Data Privacy Statement   |
| Status Changes/Address Updates (See Status Updates in Section 5)*  |
| Car (title, registration and insurance)  |
| Background check   |
| Other  |

### **Case Notes Section (2)**

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| WF1 case notes printout only if required for audits |
| Outcome summary at WF1 closure (end of sequence)    |
| Other related information                           |

### **Employment Plan and Assessment Section (3)**

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| <b>Employment Plan:</b>  |
| Signed Employment Plan (in chronological order)  |
| Support documentation for current Employment Plan (i.e.)                               |
| Childcare Transmittals   |
| Other  |
| <b>Assessment:</b>   |
| Psychological and vocational assessments and other related evaluations and assessments |
| Medical Opinion form (s)   |
| Mental Health/LD screens   |
| SSI documentation  |

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| Employability Measure                      |
| Hard to Employ Screening form              |
| MH scoring sheet                           |
| MFIP/DWP Observation                       |
| WorkKeys results                           |
| WRAT Test and other related test results   |
| Tests/ other educational assessment        |
| FSS Checklists                             |
| FSS Eligibility Screening                  |
| Related correspondence                     |
| Referrals to SSI, ARMHS and other services |
| Monthly Reports (SSI/TWE/ WEP/ARMHS)       |
| Other                                      |
| <b>Domestic Violence:</b>                  |
| DV Waiver                                  |
| DV verification                            |
| DV referrals and other support services    |
| Other                                      |

## **Job Search/Employment and Training Section (4)**

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|---|
| <b>Job Search/Employment:</b>   |
| Job Search Activity Logs  |
| Job Club verification   |
| Bi-weekly job verification (business cards/job application)               |
| Activity/verification form  |
| Resume  |
| Job Applications  |
| Cover and Thank You letters   |
| Pay Stubs   |
| Employment Verification Form (EVF) and other related employer information |
| Self-employment (documentation and business plan)                         |
| Refugee Employment Services (RES) Referral                                |
| Other   |
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| <b>Unpaid/Paid Work Experience:</b>                          |
| In-house referral (if applicable)                            |
| Orientation schedule and other related documentation         |
| Time Sheet /Attendance Log                                   |
| Worksite information   |
| Workshop indicators and referrals (if applicable)            |
| Work Experience application and or questionnaire             |
| Worksite Agreement (if applicable)                           |
| Other  |
| <b><u>Training:</u></b>                                      |
| Test/ Educational Assessment Results                         |
| Occupational Research Packets (ORP)                          |
| Training (program Information)                               |
| Financial Aid Information                                    |
| Monthly Attendance Forms                                     |
| Class Schedules/Attendance Reports or Logs (hours and dates) |
| Grades/Progress Reports                                      |
| Certification/Diploma  |
| Other  |

## **Correspondence Section (5)**

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| Notice to attend Overview  |
| Status Updates (See Status Changes in Section 1)*                    |
| Notice of Intent to Sanction (NOITS)                                 |
| Sanction Letters   |
| Letters, Appointment notices, Email, Fax's (other)                   |
| Release of Information   |
| Verification of applications (SS/SSI/ARMHS)                          |
| Support Services Information (Referrals)                             |
| Other referrals  |
| Child Care Transmittals Forms  |
| Participant case transfer forms                                      |
| Workshop appointment notices   |
| Special events letter  |
| Letter to and from (participant/childcare provider/financial worker) |

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|                                    |
|------------------------------------|
| Incident Report                    |
| Court or other legal documents     |
| Childcare/Financial Worker letters |
| Other                              |

## **MIS Data Section (7)**

|                                      |
|--------------------------------------|
| Application / Client Activity Record |
| Other                                |

## **Support Services Section (8)**

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| Transportation (bus/car)   |
| Copies of documents to support the distribution of gas cards or bus cards or other forms of transportation reimbursement |
| Payment Request  |
| Support estimates and receipts   |
| Receipts and Documentation related to requests   |
| Copy of Support Service check  |
| Documentation of gift cards (signed form if applicable)  |
| Job Retention support (transportation or work related)   |
| Documentation related to training employment costs   |
| Housing support/needs  |
| WF1 Support Services printouts (if applicable)   |
| Other  |

## **Extension Section (9)**

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| 48- month checklist                           |
| Face-to-face checklist                        |
| Extension Decision Form                       |
| Supporting documentation related to extension |

- **Please place the most recent documentation on top**