

**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 The 2003 Participant File Management Reference Guide is revised and no longer valid.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

(WS2014-01)

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

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

Client and family information : (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)**

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)**

<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

# DWP/MFIP-ES POLICY

(WS2014-01)

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)**

<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

# DWP/MFIP-ES POLICY

(WS2014-01)

<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)**

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)

# DWP/MFIP-ES POLICY

(WS2014-01)

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)**

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)**

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

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