


<b>MARICOPA COUNTY</b>  HUMAN SERVICES DEPARTMENT Workforce Development Division	<b>SECTION/REFERENCE</b> Federal Register/Vol.65, No.156 - §667.300; PL 134, 1119(a), 185(c), 188	<b>PAGE 1 OF 2</b>
	<b>ORIGINAL ISSUE DATE</b>	<b>REVISION DATE</b> August 2010
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<b>SUBJECT:</b> Hard Copy File and Retention	<b>ADDENDA:</b> MWC/ PWC File Set Up AZ Hardcopy Case File Documents	

**Background:**

The VOS system assists in maintaining documentation for each WIA participant. The WIA participant's Official Case File is the electronic VOS file. However, youth providers must also maintain a hard copy file to document all relevant information pertaining to the participation.

**Policy:**

Youth providers must maintain a hard copy file to document eligibility requirements in accordance with State requirements. Also, all documents that require an applicant signature must be maintained in the hard copy file. The information that must be maintained in the file includes but is not limited to eligibility information, VOS documentation, assessment information, financial information, WEX/OTA/Contracts, and other miscellaneous information.

The following documents (hard copy) are required in the individual's case file:

- WIA Youth Application
- All documents required by VOS to document applicable eligibility items, including, but not limited to:
  - Citizenship
  - Date of Birth
  - Family Income
  - Family Size
  - Pell Grants
  - Receipt of Public Assistance
  - Right to Work
  - Social Security Number
  - \*Substance Abuse
  - \*Substantial Disability
  - Underachiever
  - Youth Barriers
- Grievance/Participant Rights Forms signed and dated by the applicant
- Release of Information Forms signed and dated by the applicant
- ISS signed and dated by the applicant and staff
- ISS Revisions signed and dated by applicant and staff
- Proof of Employment (Employment Verification Forms, Letters from Employers, Check Stubs, etc.), if applicable
- Proof of Credential and Date Attained (Copy of Credential, Letter from School, etc.), if applicable

- Older Youth Status at Exit/Follow up (Advanced Training or Post- Secondary Ed.), and relevant documentation
- Younger Youth Status at Exit/Follow up (for attained H.S. Diploma or GED), and relevant documentation
- Younger Youth Placement Information at Exit/Follow up (Selections 1-5)
- Other Exit Reason (Institutionalized, Health/Medical, Deceased, Reservist called to Active Duty)
- GAP (Waiting for Planned Activities or Health/Medical or Time and Attendance Records
- Receipts, invoices, etc.
- Any other documents requiring the applicant/participant signature or required by VOS
- Any other documents required by the LWIA
- Skill Attainment documentation
- Objective Assessment documentation
- WEX documentation
- OTA documentation

\*Documentation regarding participant's medical history, behavioral, emotional and physical disabilities must be maintained in a sealed envelope and kept separately from the main file. Reference to confidential documentation needs to be made in VOS case notes.

Record Retention - The official VOS Records are maintained by the State of Arizona. However, Hard Copy File Records of WIA local participants must be retained for six years after exit. Applications that do not result in registration are maintained on file for one year after the date of application, including supporting documentation. Maricopa County reserves the right to ask for the records throughout the duration of the six years.