



<b>Policy No.</b> 803	<b>Subject:</b> Order of Case Filing
<b>Section:</b> Forms and Case Filing	<b>Revised:</b> 09/2019
<b>Signature:</b> Brandy McOmber, Resource Manager	<b>Version:</b> FINAL

**1. LEFT SIDE OF FILE**

R-4 WIOA Programs, Credentials, Measurable Skills Gains

**2. RIGHT SIDE OF FILE**

Items in this section are filed in numbered order below.

- a. Cover Sheet (Case History page from IRSS; REQUIRED)
- b. R-412 IVRS Request for Services/Application
- c. R-2 Intake Form
- d. R-3 Information Collection at IPE
- e. Extension of Eligibility Release (283-1390)
- f. R-413 Eligibility Face Sheet (attach CTP Rubric, if applicable)
- g. IPE-2's and IPE-3's: case file copies in chronological order of development bottom to top so that the most recent IPE form is always on top.
- h. Options for developing your IPE form (IPE-options)
- i. Extension of Plan Development Release (if needed) (R-556)
- j. Pre-ETS Agreement (not required in hard copy; uploading to IRSS is required)
- k. IPE-1 Applicant's Rights and Responsibilities

**3. OTHER EVALUATIVE, PERFORMANCE AND PLACEMENT MATERIALS**

Unless otherwise indicated, items in this section are to be filed in the order received or completed, with the newest on top. Releases are to be placed on top of the records received from the request.

Psychological reports including GATB, other interest and aptitude measures, and/or facility evaluations

Audiology reports and records received from medical personnel other than MDs



Transcripts, class schedules and grade reports (including GED scores and certifications)  
Progress Reports  
JSST, WOTC, Employer History reports, resumes, references, and other job placement—  
preparatory or readiness materials  
Criminal History and Background Check materials  
Job Readiness Analysis, Menu of Service reports and Supported Employment materials.  
OJT Employee and OJT Trainee supporting materials  
I9 Materials (kept at the bottom of this section)

#### **4. FINANCIAL PLANNING AND AUTHORIZATIONS**

Unless otherwise indicated, all items in this section are to be filed in the order received  
or completed, with the newest on top.

Comparable Benefits/Direct Services Worksheet (kept at the top of this section)  
Prior Approval Documentation  
IVRS Job Candidate Procurement Approval Worksheet  
R-450 Official Authorization and Billing Forms  
Exception to Policy Forms  
ISE Exception to Policy Forms  
R-406 Financial Inventory and Participation Worksheet  
Budget Worksheet  
Wage Verifications  
Financial Aid Forms/Award Letters  
Benefits Planning Materials  
Computer Purchase Forms  
Home Modification Checklist  
Vehicle Modification Checklist  
Mechanical Evaluation of Vehicle Form  
Information related to the Ticket to Work Program  
Declaration in Place of Receipts  
SSDI/SSI Program Support Materials (SSA-1408, Verifications, etc.)

#### **5. SELF-EMPLOYMENT PROGRAM**



All items in this section are to be filed in the order received or completed, with the newest on top.

ISE Checklist

Orientation Exploration – Is Small Business Right for You?

Can I Really Afford to do This?

Client Financial Implementation Form

Credit Report Instructions

Credit Report Mail-In Form

Documentation of Client Match Items

Income/Offset Disclosure Form

Personal Financial Statement

Personal Budget

Guide: What a Business Plan Should Include

**6. CORRESPONDENCE**

Unless otherwise indicated, items in this section are to be filed in the order received or completed, with the newest on top.

All correspondence (not elsewhere assigned a position)

Miscellaneous materials that do not have an assigned position

Documents related to guardianship

Non-medical releases (parents, spouses, schools, etc.)

**7. MEDICAL**

Unless otherwise indicated, items in this section are to be filed in the order received or completed, with the newest on top. Releases are to be placed on top of the records received from the request.

Health Assessment Questionnaire (R-3) (kept at the top of this section)

Any separate LD and/or TBI review done by DDS Consultant

Any report completed by a medical doctor

Doctor's Statement of Diagnosis



R-407 Medical Releases to MDs

\*CDs containing medical information are taped to the back cover of the case file.  
Releases should be stapled on top of the records received from the request.

**8. OLD CASEFILE MATERIALS**

Closed case file placed under this divider or existence is noted if file is too bulky.

Any medical records used for eligibility purposes in the current case should be moved forward to the new case Medical section.