



Northern Middle Tennessee Workforce Board Inc.

June 10, 2020

Executive Summary

Electronic Case Files Policy

1. What is the general purpose of this policy?

This policy provides guidance for paperless documentation of participant files and addresses timely data entry as well as accuracy of data entry.

2. What are the notable guidelines conveyed within this policy?

American Job Center (AJC) staff must use Jobs4TN to create and maintain participant electronic records to include all supporting documentation for participant related expenditures. All data must be entered in a timely manner and accurately.

Addresses the confidentiality of participant data and the required release forms to authorize AJC staff to request and/or release participant information to facilitate access to WIOA programs.

3. What are the modifications to this policy?

This policy has been revised to include the following:

- Timeliness and accuracy of data entry
- Required supporting documentation for participant related expenditures
- Updated Release form



Electronic Case Files Policy

Purpose

This policy provides guidance for uniform, paperless documentation of participant files including instruction for the collection, dissemination, storage, and protection of information contained within Jobs4TN. The policy also provides procedural guidance for the timely entry and accuracy of data entry of participant information into Jobs4TN.

Background

The Workforce Innovation and Opportunity Act (WIOA) requires recipients of Title I funds to keep records that are sufficient to prepare reports and permit the tracking of expenditures to ensure funds have been spent appropriately. This guidance applies to electronic file storage and documentation imaging standards in the administration of the following Federal programs: Title I WIOA Adult, Dislocated Worker, and Youth Programs, Title III Wagner-Peyser, Trade Adjustment Assistance, Re-employment Services and Eligibility Assessment, SNAP Employment & Training, and related assistance programs.

Policy & Instructions

A. Participant Electronic Records

The Jobs4TN system eliminates the need for participant paper files, provides for a single point of access for file review, and ensures more secure storage of sensitive information. The American Job Center (AJC) system must use Jobs4TN to:

- Create participant applications and participation
- Upload supporting documentation for eligibility verification
- Create Objective Assessment Summary (OAS) and Individual Employment Plan (IEP)
- Record all provided services
- Upload supporting documentation for individualized services/training, measureable skills gains, credentials, exit/outcomes, and follow up.
- Record case notes regarding interactions with participants including the who, what, where, when, why, and how of service delivery

B. Fiscal Electronic Records

The Northern Middle Tennessee Workforce Board (NMTWB) requires that all supporting documentation for all participant related expenditures be uploaded to Jobs4TN.

All participant related payments must be linked to their corresponding payment in the Career Service Provider's fiscal accounting system by notating the check number on the voucher payment screen in Jobs4TN to allow for ease of reference during monitoring and review.

C. Medical Records

Records containing identifiable health information – also known as protected health information (PHI) under the HIPAA Act of 1996- such as health status, provision of health care, or payment for health care must be maintained in a secure area and in paper format.

D. Timeliness and Accuracy of Data Entry

It is imperative that accurate information is entered to Jobs4TN in a timely manner in order to generate accurate reports at the local, State, and Federal levels. All applications must be processed and supporting documentation uploaded to Jobs4TN immediately upon receipt. All services provided should be recorded on the date the service is provided. When a participant has completed the program and no longer receiving Title I services, the closure must be entered to Jobs4TN promptly, including the uploading of documentation to support credentials or employment when applicable. Once participants have exited all programs, any follow-up services provided must be recorded on the date the service is provided. The quarterly follow-up must be completed and entered no later than the end of the quarter (i.e., 3/31, 6/30, 9/30, 12/31) except for the 1st quarter follow-up which must be entered timely once the follow-up screen is available in Jobs4TN.

Service providers are required to upload to Jobs4TN, for all participants, any verification documents upon receipt, using the file naming conventions listed below and should include the documents listed (as applicable):

1. Enrollment and Eligibility

- Application with participant and staff signature
- Social Security Number
- Date of Birth
- Authorization to work in the US
- Selective Service Registration
- Disability
- Veteran Status
- Employment Status
- School Status
- Receipt of public assistance
- Barriers
- Family size and income
- Equal Opportunity form with participant signature
- Release forms with participant signature

2. Individualized Services and Training

- Training documents (i.e., Workforce Board Scholarship Form, ETPL, etc.)
- Timesheets
- Invoices or voucher related documents
- Work Experience documents

3. Measure Skills Gain

- Pre-test and post-test TABE or CASAS
- High School Diploma or HiSET
- Secondary or Postsecondary transcript or report card
- Progress report for OJT or Apprenticeship
- Copy of successful passage of knowledge based exams, occupational competency-based assessments, or other tests necessary for completion in the attaining of technical or occupational skills

4. Credential

- High School Diploma or HiSET
- Associate's Degree
- Bachelor's Degree
- Graduate Degree (Vocational Rehabilitation only)
- Occupational Licensure
- Occupational Certification, including Registered Apprenticeship and Career and Technical Education certifications
- Other recognized certificates of industry/occupational skills completion sufficient to qualify for entry level or advancement in employment

5. Exit and Outcome

- Exclusionary support documentation (i.e., proof of incarceration, proof of death, etc.)
- Supplemental wage information (if applicable)
- School status at exit
- WIOA exit form
- Copy of letter sent to individual indicating the case was closed
- Attendance records
- Review of service records identifying the last qualifying service (and lack of a planned gap)

6. Supportive Services and Follow-up

- Any documentation to verify support services given to a participant during program participation
- Any documentation to verify follow-up services given to a program participant after exit
- All documentation to verify follow-up support services given to a youth participant after exit

Any documentation that does not fall into one of the categories listed above should be labeled accordingly.

E. Confidentiality of Data

Data or information acquired under a confidentiality agreement, to be used exclusively for statistical purposes, shall not be disclosed in identifiable form for any use other than an exclusively statistical purpose. Use of this information is prohibited except with the informed consent of the respondent.

F. Required Release Forms

Participants and the American Job Center staff must sign and date the American Job Center Authorization to Release and/or Request Information form. The Release of Information form states that the participant's information may be used for reporting purposes as a result of federal regulations associated with the benefit of federal funds and that the participant's personal information will remain confidential. The release form must be uploaded to the participant electronic file in Jobs4TN to validate that the participant agrees to the release of information for reporting purposes.

The Family Educational Rights and Privacy Act, protects the privacy of educational records. Under this law, students have the right to control disclosure of their educational records. Student's education records may be disclosed only with the parent or student's prior written consent, unless (34 CFR 99.31):

1. The disclosure is to other school officials, including teachers, within the agency or institution whom the agency or institution has determined to have legitimate educational interest.
2. A contractor, consultant, volunteer, or other party to whom an agency or institution has outsourced institutional services or functions may be considered a school official under this paragraph provided that the outside party
 - a. Performs an institutional service or function for which the agency or institution would otherwise use employees;
 - b. Is under the direct control of the agency or institution with respect to the use and maintenance or education records; and
 - c. Is subject to the requirements of §99.33(a) governing the use and re-disclosure of personally identifiable information from education records.
3. An educational agency or institution must use reasonable methods to ensure that school officials obtain access to only those education records in which they have legitimate educational interests. An educational agency or institution that does not use physical or technological access controls must ensure that its administrative policy for controlling access to education records is effective and that it remains in compliance with the legitimate education interest requirement of this section.
4. The disclosure is, subject to the requirements of §99.34, to officials of another school, school system, or institution or postsecondary education where the student seeks or intends to enroll, or where the student is already enrolled so long as the disclosure is for purposes related to the student's enrollment or transfer.

Participants who attend training through WIOA funded programs must sign and date a form authorizing the release of educational records in order to obtain information or copies of certifications or diplomas from educational institutions for data validation and reporting purposes.

G. Deleting Documents

The Career Service Provider (CSP) staff will not be allowed to delete documents or images that have already been saved to an applicant's electronic file. If a document or image needs to be deleted the CSP staff must submit a request using the VOS Case Corrections form to Meagan Dobbins, NMTWB Program Quality Assurance Specialist, at mdobbins@workforcessentials.com for review. If the request is determined appropriate, the Program Quality Assurance Specialist will forward the request to appropriate TDLWD Workforce Services Program staff for their review and deletion.

H. Data Validation

Data validation is an annual process to review a sample of participant's electronic files for accuracy and compliance for the federal report. TDLWD staff in conjunction with NMTWB staff and CSP staff will validate that the information recorded in Jobs4TN on each participant is correct by verifying that supporting documentation is accurate and present within a participant's electronic case file.



Authorization to Request and/or Release Information

I understand that the partner agencies of the American Job Center (AJC) are requesting my permission to share my\my child's confidential information and records in order to facilitate access to programs under the Workforce Innovation and Opportunity Act (WIOA).

I understand that if I agree to share my\my child's confidential information and records, the information will be shared with members of the AJC partner agencies for the sole purposes of assisting with determining appropriate services to assist me\my child and that my\my child's information and records will only be shared to the extent allowed by Federal and state law.

I understand that my\my child's information may be used for reporting purposes as a result of federal regulations associated with the benefit of federal funds.

I, (Print Name) _____ hereby consent and agree to share my\my child's confidential information and records and hereby authorize the American Job Center and partner agencies to request and release information pertaining to my records, which is relevant to my participation in WIOA programs. I understand that this authorization includes, but is not limited to:

- Name, address, phone number, email address, social security number, date of birth, age, gender, and race/ethnicity
- Educational records as described in the Family Education Rights and Privacy Act of 1974
- Financial information (such as household income and student financial aid information, including award status and amounts)
- Employment history to include employer name, employment dates, wages, hours worked per week, benefits, and performance
- Eligibility for special programs such as public assistance, unemployment insurance, veteran services, and disability services.

Customer Signature

Date

Parent or Legal Guardian Signature

Date

Staff Signature

Date

I. Record Maintenance

All sub-recipients of funds shall keep records that are sufficient to permit the preparation of reports and to permit the tracing of funds to a level of expenditure adequate to ensure that the funds have not been spent on non-allowable activities. This guidance applies to both electronic and paper records. Although electronic files are intended to replace paper documents, records must be maintained in a manner that enables staff to produce a tangible, paper copy immediately upon request. Pursuant to Records Disposition Authorizations (RDAs) 1586 and 22017 from the State of Tennessee Comptroller of the Treasury, TDLWD and the NMTWB require the maintenance of records for a period of five (5) years.

J. Legal Status of Electronic Documents

Electronic records submitted or maintained in accordance with procedures developed under this title, or electronic signatures or other forms of electronic authentication used in accordance with such procedures, shall not be denied legal effect, validity, or enforceability because such records are in electronic form.

References


WIOA Section 185(a)(1); WIOA Section 308(c)(2)(F)(ii); 29 CFR 38.42, 34 CFR 99.31; E-Government Act of 2002; Family Educational Rights and Privacy Act (20 U.S.C. 1232g; 34 CFR Part 990); Government Paperwork Elimination Act of 1998; HIPAA Act of 1996; Paper reduction Act of 1995; Paperwork Reduction and Simplification Act of 1976; Public Law 105-277 Title XVII Section 1707; Public Law 107-347 Title V Section 512(b)(1); Tennessee Electronic Records Policy; Workforce Services Policy – Electronic Case Files

Authorized by:

Approved by:



Marla Rye, Executive Director Date



John Zobl, Chairman Date