

GREATER MEMPHIS LOCAL WORKFORCE DEVELOPMENT BOARD (GMLWDB)

GREATER MEMPHIS LOCAL WORKFORCE DEVELOPMENT AREA

EFFECTIVE DATE:	March 1, 2021
DURATION:	Indefinite
POLICY:	Participant File Record and Electronic File Policy
PURPOSE:	This policy details the centralized file system for participant files with a goal of maintaining the system to ensure all participant files contain accurate and complete information and are accessible upon request. This Policy applies to all participant files for Adults, Dislocated Workers and Youth.
REFERENCE(S):	WIOA Secs. 185(a)(1) and (e)(1); 2 CFR Parts 200 and 2900, TEGL 10-16 Change 1, WIOA Section 308[c][2J[FJ[ii], TEGL 39-11, Public Law 107-347 Title V Section 512[b][1], 34 CFR 99.31

DEFINITION

"Participant files" include physical paper documents and/or electronic documents for Adult, Dislocated Worker and Youth WIOA-funded reportable individuals who have not been exited from a WIOA program and have received services after satisfying all applicable programmatic requirements for the provision of services such as eligibility documentation.

POLICY

This Policy maintains a filing system for all active participant files. The centralized participant file system allows WMS to:

- Streamline required documentation and avoid the creation of multiple participant files;
- Maintain all participant files in a centralized physical and/or electronic location; and
- Easily retrieve participant files as needed.

Career Services Providers, Business Services, and Youth Service Providers shall ensure that all participant files contain the requisite WIOA eligibility documentation, verification, etc. Each WIOA enrolled individual shall have a corresponding paper and/or electronic file that contains a complete record of the participant's eligibility, activities, and outcomes. All paper files should be stored in a designated Central File Room. All electronic files should be uploaded to the state's information management system (e.g. VOS).

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 should be maintained in a secure area and in paper format.

Record Maintenance

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 (WIOA Section 185[a][1]). This guideline applies to both paper and digital records. Although digital 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. Guidance on the required maintenance of records by recipients is provided in 29 CFR 38.43. According to 29 CFR 38.43, each grant recipient must maintain the records required under WIOA for a period of not less than three (3) years from the close of the applicable program year. Pursuant to Records Disposition Authorizations (RDAs) 1586 and 2207 from the State of Tennessee Comptroller of the Treasury, TDLWD requires the maintenance of records for a period of five (5) years.

Electronic Records – Jobs4TN

The Jobs4TN system eliminates the need for paper applications for registration and ensures that all Local Workforce Development Boards (LWDBs) are using identical criteria to determine participant eligibility. Customers will receive the same high quality, efficient service regardless of the local area in which they reside. In order to case manage participants, LWDBs and the American Job Center (AJC) System must use Jobs4TN to:

- **Create participant applications**
- **Record provided services**
- **Upload supporting documentation to verify eligibility**

Fiscal Related Documentation

If the Fiscal Agent to the LWDB is maintaining records with regards to participant related payments, it is not required to upload invoicing documentation into the Jobs4TN system. Any requirement for uploading fiscal related documentation would be at the LWDBs discretion, however, Jobs4TNNOS is not intended to be the system of record for fiscal related documentation. It is required to link all participant related payments and activities through notating the invoice number or another specific identifier within the case notes in the jobs4TN for ease of reference during monitoring and review.

Deleting Images

Only under limited circumstances will staff be allowed to delete an image that has already been saved to an applicant's electronic file. The process of deleting an already saved image should be performed by GMLWDA Board staff. The Performance and Compliance Unit reviews requests for deletion of documents and if determined appropriate, would delete the records from the individual's account. Requests for deletion should be addressed by email to the Performance and Reporting Unit should be cc'd.

Required Release Forms

All subrecipients should have a release of information form signed and dated by the participant and the case manager. This form should state 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. This may be used as a stand-alone form, or

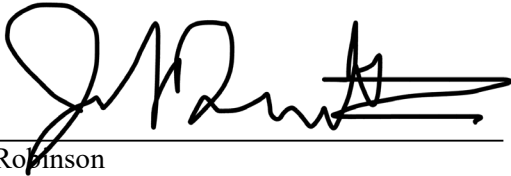
may be incorporated into other release.

EXCEPTIONS

The WIOA Director of Programs, Policy and Performance may make exceptions to the requirements herein. Moreover, ITAs should comply with the applicable requirements and/or terms of any special grants issued by the Tennessee Department of Labor and Workforce Development (e.g., SNAP, RESEA).

INQUIRIES

Please contact Amber Covington, Executive Director, acovington@memphischamber.com, with any questions or concerns regarding this policy.



Jay Robinson
GMLWDA Board Chair

5/21/2021

Adopted Date

GMLWDB is a proud partner of the American Job Center network, is an Equal Opportunity Employer. The Career Center System is an Employer/Equal Opportunity Program. Auxiliary aids and services are available upon request to individuals with disabilities. TTY: 1-800-848-0299