

File Management Policy #P-36-1.24

Date: July 3, 2024

Re: File Management

Originated: January 16, 2024

Approved: February 8, 2024

Reviewed for Updates: July 3, 2024

Revision Approved: August 1, 2024

References: 29 CFR §38.41(b)(3)
29 CFR §95.53
29 CFR §37.39
WORKFORCE SYSTEM POLICY (WSP) No. 183-01 (C1)
WORKFORCE SYSTEM POLICY (WSP) No. 01-2015 (Change 1)
SCPa Works PII Policy #P-3-2.22

Attachments: Case Record Format (*Attachment I*)

Author: Saranne Miller, SCPa Works Policy Manager



I. Overview

- A. SCPa Works requires all Title I, TANF, and EARN grant subrecipients to maintain electronic and hard copy files for all participants who receive services and have yet to be called for archiving.
- B. Each participant hard copy file will include the following:
 - 1. Eligibility Verification Documentation
 - 2. Contact Information
 - 3. Release of Information
 - 4. Credentials/Certifications
 - 5. Supporting Documentation for all Expenditures
- C. WIOA Youth Participant Files will include the following additional items:
 - 1. Application
 - 2. School Records
 - 3. Work Experience Documentation
 - 4. Assessments (objective and basic skills)
 - 5. Portfolio & Activities Materials
 - 6. Exit/Performance Measures

II. File Management Compliance

- A. The maintenance of electronic and hard copy files must adhere to all file management practices included in the SCPa Works Personally Identifiable Information (PII) Policy #P-3-2.22.

SCPa Works File Management Policy #P-36-1.24 ~ SCWDB Approved August 1, 2024

This is an electronically controlled document. All hard copies are considered uncontrolled.

This document is reviewed for updates every 365 days by the SCPa Works Policy Department and was last reviewed on 07.03.2024.

Equal Opportunity Employment/Program ~ Auxiliary aids and services are available upon request to individuals with disabilities.

- B. Case notes shall match all service records and activities otherwise, and shall be printed and added to each hard copy file.
- C. Hard copy files must be prepared for all TANF, EARN, WIOA Adult, Dislocated Worker, and Youth participants following eligibility determination and enrollment before receiving and documenting the first basic or individualized career service.

III. Medical and Disability Information; SCPa Works PII Policy #P-3-2.22 Section VI

- A. Participant files and electronic records must not contain any medical information.
- B. Whether written or oral, and regardless of format, staff must maintain the confidentiality of the following:
 - 1. Personal and confidential information that contains health information related to a physical or mental disability, medical diagnosis, or perception of a disability related to the individual **must be kept in a separate locked file** and apart from working files.
 - 2. Personal and confidential information that contains health information related to a physical or mental disability, medical diagnosis, or perception of a disability related to the individual contained in case notes **must be redacted** from the participant file; the original notes must be placed in the participant's medical file.
- C. Access to the medical files:
 - 1. Must be limited and should only be accessed **with the approval of program management** and when such access is necessary to facilitate a participant's access to services or to support an ongoing service plan or
 - 2. First aid and safety personnel may be provided access to a participant file if medical information is needed in the event of an emergency; or
 - 3. Local, state, or federal monitors in compliance with 29 CFR Part 32.44(c) and 29 CFR Part 38.60 may have access to medical files for monitoring purposes.
 - 4. When a request for medical records is initiated, a WIOA/TANF participant must sign and date the SCPa Works Consent to Release Information form.
 - a. This signed form will be maintained in the participant's physical case record file.
- D. When all services, including follow-up services, are complete and the participant file is ready to be archived, participant medical and disability-related information previously filed separately from the active file must be placed in a sealed envelope and marked "Medical and Disability Information."
 - 1. The sealed "Medical and Disability Information" will be secured in the participant file.

IV. File Maintenance

- A. Subrecipients will update files with appropriate and relevant documentation per SCPa Works policies to ensure that hard copy files are aligned with electronic records and that all aspects of file maintenance are up-to-date.
- B. Access to Records: SCPa Works, Pennsylvania Department of Labor & Industry, and its authorized representatives, have the right of timely access to any files, books, documents, computer records, emails and other sub-recipient, contract service providers and contractor records that are pertinent to the use of any funds administered by SCPa Works through L&I.

Summary of Changes: This policy is reviewed every 180 days by the SCPa Works Policy Department for necessary changes, edits, updates, and revisions.

Date of Change:	Changed by:	Summary of Change(s):	Effective Date

07.03.2024	Saranne Miller <i>Smiller</i>	Section I – clarified program names Section II – clarified a case management cross match with case notes, and added TANF & EARN for clarification Section IV(B) – added Access to Records statement in alignment with WORKFORCE SYSTEM POLICY (WSP) No. 183-01 (C1)	08.01.2024