I. Purpose:

The purpose of this policy is to provide guidelines for participant file management for participants enrolled in Workforce Innovation and Opportunity Act (WIOA), Title I services.

II. Policy:

It is the policy of the North Central Workforce Development Board that all WIOA subrecipients maintain both electronic and hard copy files for all participants who receive services and have not yet been called for archiving. Each participant paper file will include the following:

- Eligibility Verification Documentation
- Contact Information
- Release of Information
- Credentials/Certifications
- Supporting Documentation for all Expenditures

In addition to the above list, WIOA Youth Participant Files will also include the following:

- Application
- School Records
- Work Experience Documentation
- Assessments (objective and basic skills)
- Portfolio & Activities Materials
- Exit/Performance Measures

In addition, the maintenance of both the electronic and hard copy files must adhere to the NCWDB's "Policy on the Handling and Protection of Personally Identifiable Information (PII)."

Prior to archiving, case notes will be printed and added to each file. Paper files must be prepared for all Youth participants following eligibility determination and enrollment. Paper files must be prepared for Adult/Dislocated Worker participants prior to the receipt of their first individualized service. Participant files and electronic records must not contain any medical information. Subrecipients will update files with appropriate documentation in accordance with North Central Workforce Development Board policies to ensure that both paper files and electronic records are up-to-date.

III. Expiration:
Ongoing

IV. INQUIRIES
Questions should be directed to Susan R. Snelick at ssnelick@ncwdb.org or Pam Streich at pstreich@ncwdb.org or 814-245-1835

Auxiliary aids and services are available upon request to individuals with disabilities.

Equal Opportunity Employer/Program