



Administrative Policy #1009 Participant File Management

Date Issued: 06/24/2016 Date Effective: 06/24/2016 Date of Last Revision: 01/14/2019

I. Purpose

The purpose of this policy is to provide guidelines for participant file management for participants enrolled in programs provided in the local PA CareerLink® centers.

II. Background

Recipients and subrecipients of Federal financial assistance are required to keep records that are sufficient to:

- Prepare required reports on program performance and outcomes; and
- Trace funds to a level of expenditure adequate to ensure that funds have been spent lawfully.

Pennsylvania's data-management system, CWDS/PA CareerLink®, is the required entry point for all workforce development activities in Pennsylvania. All workforce development activities (to include participant and employer registrations, job postings, job matching, career planning, case progress notes, activities and outcomes pertaining to workforce programs funded through the authorization of WIOA, WIA, the Wagner-Peyser Act, TAA and related grants) must be entered into CWDS/PA CareerLink® to ensure compliance with federal and state statutes, regulations and policies. ([WSP No. 01-2015 \(Change 1\) July 20, 2018](#)).

III. Definitions

Commonwealth Workforce Development System, or CWDS, is the management system of record used for all data collection and reporting.

Pennsylvania CareerLink®/PA CareerLink® is the registered trademarked name for Pennsylvania's one-stop service delivery system, including each of the one-stop centers, as well as the online job-matching system for job seekers and employers.

IV. Roles and Responsibilities

PA CareerLink® sites are to use CWDS/PA CareerLink® as the common information-management system. CWDS/PA CareerLink® is the official system of record used for all data collection and reporting for all required partners located in comprehensive and affiliate PA CareerLink® sites. Shared information and data agreements will be used to support access to information and information sharing among partners as allowed by authorizing law and regulations.

Providers of programs must maintain electronic and/or hard copy files for all participants who receive services and have not been exited from their enrolled program. Each participant hard copy file will include the following:

- Intake documentation
- Case notes and quarterly updates
- Credentials/Certifications
- Approvals for applications, career services, etc.
- Supporting documentation for all expenditures
- Training documentation (including contracts, attendance, etc.)
- Assessment documentation

- Eligibility documentation
- Exit information

In addition, the maintenance of both the electronic and hard copy files must adhere to [WCJP Administrative Policy #1002 Protection of Personally Identifiable Information \(PII\)](#).

Participants must not contain any medical information. Subrecipients will update files with appropriate documentation in accordance with West Central Workforce Development Board policies to ensure that both paper files and electronic records are up-to-date.

V. Appendices (if applicable)