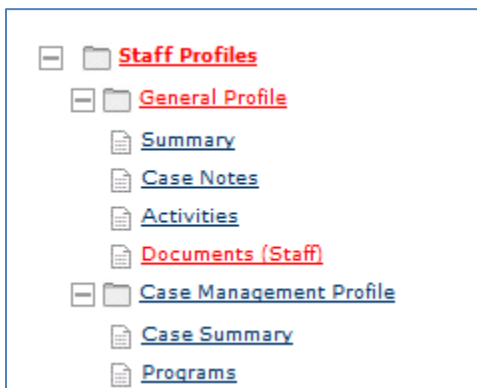NCWorks
career center

**Program Year 2017**

Effective PY2017, all WIOA Title I and III Wagner-Peyser participant and program related documents must be scanned in and stored in NCWorks Online creating an electronic file. Electronic files should include all documents and documentation normally kept in an individual paper file.  If a document is updated, such as a work experience agreement, the updated document must be scanned into the system as an additional document.

It is expected that all future monitoring from the WDB and DWS will be completed via NCWorks Online. All aspects of performance will be entered and captured by NCWorks Online from enrollment to exit/follow-up.

**All staff are expected to be familiar with the DWS Policy Statement 08-2017 regarding electronic files and redaction expectations.**

<u>**Scanning**</u>

Scanned documents should be saved in NCWorks under the "Documents" section.



Documents should be **clearly readable** and:

- Scanned directly into NCWorks
- Scanned as a PDF document
- Scanned as separate, individual documents (multiple source documents cannot be combined)
- Be clearly named and labeled correctly (for example a scanned Drivers License would be named Drivers License)

Once documents are preserved in NCWorks, when appropriate, the paper copy should be securely destroyed to further protect customers' information.

NOTE: Color reproductions/scanning of driver's license, birth certificates, passports and social security cards is **prohibited**. When scanning, images should be in **grayscale** which lowers the risk of fraudulent use.

**Redaction**

As part of electronic storage, all staff must take all necessary precautions to protect the Personally Identifiable Information (PII) of consumers and take the steps necessary to protect the data from unauthorized disclosure. Documents containing PII should be redacted following DWS Policy Statement 08-2017.

NOTE: Redaction of PII applies to all documents in NCWorks since PY2015. All current and future files must follow the redaction policy statement. Efforts should be made to review files since PY2015 and redact accordingly.

> **At a minimum all instances of an individual's driver's license number and the first five digits of the Social Security Number must be redacted.**

After scanning a document, staff should us the "redaction tool" found in the "Create Annotations" toolbar to draw a shape over the PII needing to be redacted. Before saving the altered image, choose "Separate layer that can be changed later" under the "Annotation Options."
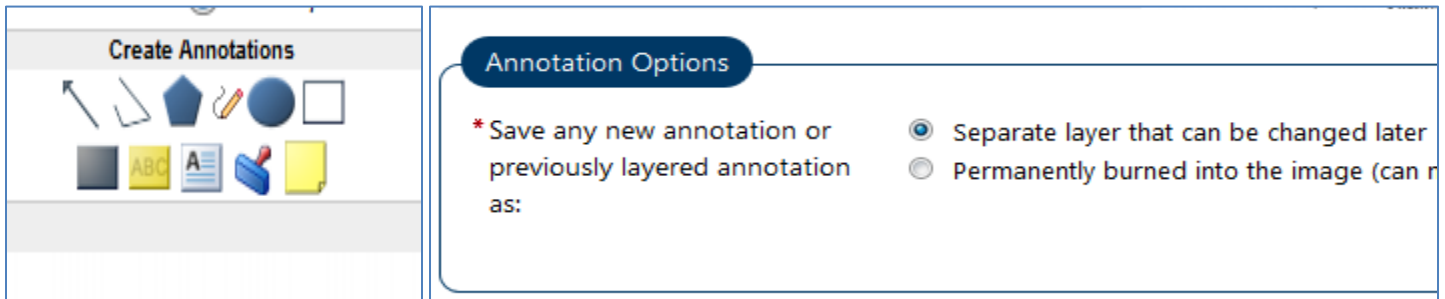


NOTE: Do **NOT** cover PII prior to scanning by means of white out, sticky notes, markers, etc. Doing so prevents monitors from accessing necessary verification of items.
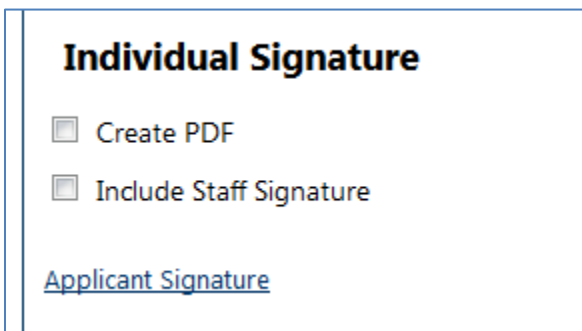
**Signature Pads**

Signature pads allow staff to capture and store their signature directly in NCWorks. Using this feature will allow signatures to be automatically captured on documents such as the application and Individual Employment Plans (IEP) and automatically save the document in the "Documents" section. This feature reduces the need to print, sign, and scan applications and IEPs.

2

Once a signature pad has been connected, staff can then create and store a staff signature from the link at the bottom of the "My Staff Account" page.

**Staff Signature**

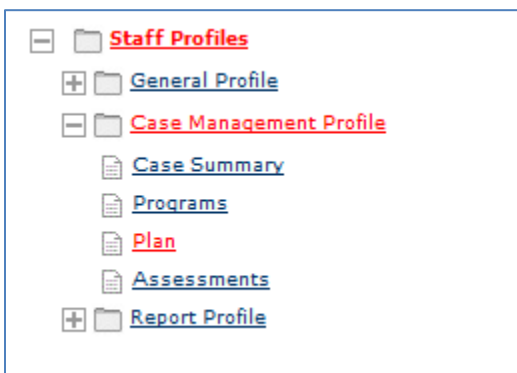Create Digital SignatureNo Signature on fileRemove My Signature

Customer signatures are not stored in NCWorks but can be digitally captured. This feature is found at the end of the customer application and IEP.

**Individual Signature**

☐ Create PDF

☐ Include Staff Signature

Applicant Signature

In order to capture digital signatures, you must install the Topaz signature pad and the e-signature software on your computer.

**Individual Service Plans (IEP)**

IEPs should be developed under the "Plan" section in NCWorks. Service plans are to be developed in conjunction with the participant and be reviewed and updated at **least every six (6) months** and as services/plans change.

⊟ 📁 **Staff Profiles**
  ⊞ 📁 General Profile
  ⊟ 📁 Case Management Profile
    📄 Case Summary
    📄 Programs
    📄 Plan
    📄 Assessments
  ⊞ 📁 Report Profile

3

Each plan will identify educational and employment goals, selected learning objectives, training and work based learning services (when provided), supportive services (when provided), and other relevant established goals**. Initially developed plans and updated plans require customer signatures**. Case notes are expected to reflect the case management interaction towards the goal completion.

## Activities

Activities should be keyed as a means to document services and support the IEP. Once an activity is keyed, case notes should be entered that provide an overview of the activity. Staff should pay attention to activity begin and end dates to ensure that they are keyed correctly and correspond to the backup documentation and case notes. Activity start and end dates should correspond with that day's activities.

Each activity **must** have a selected "Provider." If the provider or program is not listed, staff should follow the policy on adding providers and training programs.

- Individual Counseling activities should be **opened and closed on the same day** the service was provided with corresponding case notes.
- Occupational Skills Training activities should have a start date that corresponds to the first day of training and an end date that corresponds to the last day of training, once completed. This is often supported by a student's schedule, which should be scanned into documents. Students in multiple training programs, will have more than one activity.
- Support Service activities that are one-time expenses generally have the same start and end date. Longer term support such as travel or daycare should have a start date matching the date of first service and an end date based on when the service ended.
- Activities should be closed by staff. Activities that system close, should be updated by staff to ensure the correct end date is in place.

NOTE: Once all activities have closed for a period of 90 days (for all programs), participants will system exit back to the last date of service (based off the latest activity end date). Staff are responsible for ensuring activities remain open and are closed accurately, as needed. Setting staff alerts may be helpful in monitoring upcoming end dates and closures.

**Activities / Enrollments / Services**

Create Activity / Service / Enrollment

Search:

| Status | Activity / Provider | WZ | Funding / Grant | Projected Begin Date | Actual Begin Date | Projected End Date | Actual End Date |
|---|---|---|---|---|---|---|---|

## Case Notes

Case notes should be keyed within **seven (7) days** and provide adequate documentation of case management services that were provided to customers. In general, case notes **should not** be suppressed.

**At enrollment, all cases should have an initial entry summarizing:**

- The customer's situation to include the need for WIOA funded services to meet their educational/employment goals
- Eligibility
- Basic goals
- Results of assessments
- His/Her general plan for services with projected timeframe for completion
- Partner services they may be receiving

During enrollment, case notes should include sufficient detail to show that a service was provided and how the participant is progressing. Notes should include these specifics:

- Progress toward goals/plans
- Progress/concerns regarding training/employment
- Identified issues/barriers and actions taken
- Participation in any activities (workshops, work experience, OJT, etc.)
- If in training, the training provider and training program
- Details regarding work based learning activities (start/end dates, location, wages, schedule, progress)
- Need for supportive services (if applicable)
- Referrals provided
- Outcomes achieved
- Change in contact information
- Next steps/next appointment

At completion of services, a summary case note should be keyed and include these specifics:

- Customer's situation
- Completion of training program
- Employment information
- Any follow-up services provided
- The date used for exit which corresponds to last date of service

Case notes should also document any follow-up services provided.

## Credentials

All participants who participate in an education/training activity are held accountable for earning a credential. Credential attainments must be keyed under the "Credentials" section (unless earned after exit and are keyed as follow-up). Verification of the credential is required and should be scanned under the credential section with the completion information. The date on the credential verification must match the date keyed.
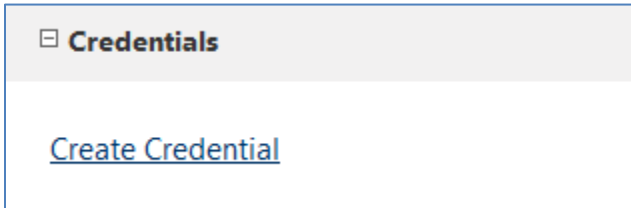


## Measureable Skills Gains

All participants who participate in an education/training activity are held accountable for Measurable Skills Gains, which documents progress towards such a credential. Skills gains must be keyed under the "Measureable Skills Gain" section.
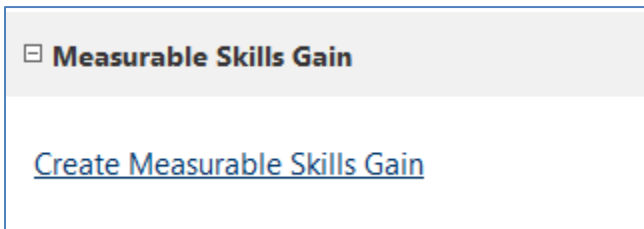


A current exception for Measurable Skills Gains applies to the increase in educational functioning levels (EFL). All EFLs must currently be keyed under the Literacy/Numeracy section until NCWorks has revised the skills gain section.

## Closure

Once a participant has exited, staff should visit the "Closure" screen to update information as needed. Participants that remain in education/training at exit or those who entered the military/employment should be updated to the extent possible.
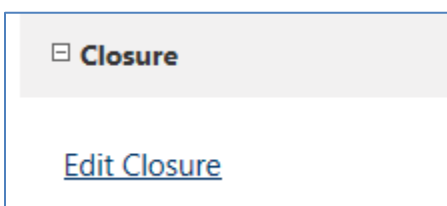
**Follow-ups**

Several WIOA performance measures are directly tied to data that can be captured during follow-up after exit. Retention in education, attainment of a credential after exit, and employment measures can be impacted by data keyed in this section.

**All WIOA staff are expected to provide participants who exit, that are not working or attending training, follow-up services that may assist them in gaining employment in order to best meet the locally set performance measures.** Services should continue to be updated in case notes.

Youth are **required** to receive twelve months of follow-up services after exit. Staff should, at a minimum, provide quarterly follow-up and complete the quarterly follow-up screens.

Please see local policy on Follow-up for additional details.

⊟ **Follow-ups**

Create Local Follow Up
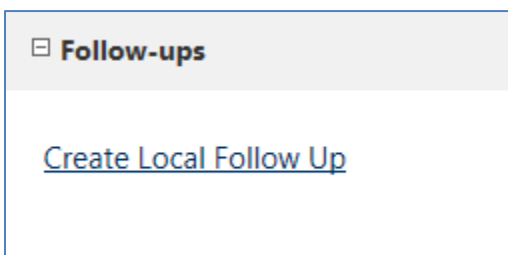
**Summary**

This policy is intended to be a guide to assist staff in the process of managing electronic files and protecting PII. The NCWorks User Guide for Staff is also a useful tool that will assist with using NCWorks Online. While documentation is critical under WIOA, the direct case management services provided by staff to customers remains the most important aspect in our daily work and in the lives of the customers we serve.

**References**

DWS Policy Statement 08-2017
NC General Statute 20-30
TEGL 39-11
NCWorks: Manage Documents (for step by step on documents/redacting)