

## **Operational Policy NO. OP- 425, Change 1**

**Subject: Electronic File Storage and Documentation Imaging Standards.**

**Effective: PY19, Effective May 11, 2020**

### **BACKGROUND:**

As of January 1, 2015, the Department of Workforce Solution's "Electronic Files Content Management" (STAG, finalized in May 2015) has required that all new program enrollments are to be completed in an e-file format. A hard copy was required to be maintained until June 30, 2015 for back up purposes. Local Workforce Boards were given the option to choose a longer period to maintain hard copy participant files. Workforce Connection of Central New Mexico (WCCNM) chose to have its Providers continue to maintain a hard copy.

### **OBJECTIVE:**

To update the local policy regarding electronic file storage and documentation imaging standards in the administration of the Workforce Innovation and Opportunity Act (WIOA) program, under the New Mexico Workforce Connection Online System (NMWCOS).

### **POLICY:**

WCCNM has established a standard for an electronic file (e-file) which includes a paperless registration, eligibility determination, and program enrollment. As of January 1, 2015 all new program enrollments began to be completed in an e-file format. The results are a real time environment for storing and viewing applicant verification and eligibility determination documents. Authorized personnel are required to scan, import, and save all verification documents at the time they are being reviewed during the application process and prior to selecting the verification type on the application in NMWCOS per distinct program requirements. The application, eligibility determination and documentation of any individual or entity who applied to a federally funded program related to this policy prior to January 1, 2015 is stored in a hard copy file through the life of the enrollment.

The WCCNM Adult, Dislocated Worker and Youth programs began to maintain an e-file for all new enrollments starting January 1, 2015, which includes a hard copy file. This allowed the WCCNM to continue to test the accuracy of the e-file maintenance.

As of May 11, 2020, WCCNM will continue to test the accuracy of the e-file maintenance by conducting a 100% e-file Pilot for a small sample of new enrollments. The purpose of the Pilot is to develop the procedure and methodology for transitioning the WCCNM Adult, Dislocated Worker and Youth Provider staff to utilize 100% e-filing for all new enrollments. In addition, the goal is to eliminate both the hard file as well as the supplemental file and avoid duplication of effort. A start date will be determined based on the outcome of the Pilot along with staff training. The Pilot activities will comply with this policy for the selected new enrollments on registration, eligibility determination and program enrollment through the use of NMWCOS and as well as other e-file documents for all associated workforce program activities. Staff will also continue to

utilize WCCNM's Professional Document System (PDS), also for the purpose of e-filing. The identified new enrollments will not have a hard file copy and will be documented in the NMWCOS system case note section. Identified participating enrollees will be exempt to requirements of OP – 426 Participant File Policy. This Pilot will help guide the updates to this policy prior to implementation of a 100% e-file start date.

**APPLICABILITY:**

All WCCNM Service Providers.

**INQUIRIES:** WIOA Manager 505-724-3629