

Region 4 Workforce Development Board
Data Management System

PURPOSE: To set forth guidance on service provider procedures for the submission of Indiana Career Connect corrections, deletions, transfers, and login information requests to Region 4 Workforce Development Board's Indiana Career Connect Elite User. These procedures are designed to assure the timeliness and accuracy of the participant database and to minimize the flow of paper between operations staff and the local One Stop Operator.

REFERENCES: DWD 2007-37

CONTENT: All grantees, sub-grantees, contractors, and sub-contractors are required to use the State's electronic systems for all case management, fiscal module, participant reporting, oversight and labor exchange service delivery and functions.

Indiana Career Connect shall be the only case management system used for all following funding sources. Case management records are to be entered in these systems at the point and time of service delivery (DWD 2007-37).

It is the expectation that all grantees, sub-grantees, contractors, and sub-contractors utilize the Indiana Career Connect Case Management System AT THE POINT AND TIME OF SERVICE to the participant with the exceptions of the following circumstances:

1. Documented Internet Service Provider outage
2. Scheduled maintenance of Indiana Career Connect or emergency outage documented by the vendor
3. Documented lack of Internet connection due to service provision in a remote location
4. Mass dislocation of fifty (50) or more participants to be serviced by WIOA or TAA

Data entry delay due to any of the proceeding exceptions shall be entered in to Indiana Career Connect within three (3) business days following restoration of system access.

I. Data Correction Protocol

Changes/corrections to individual data elements critical to performance calculations in the current program year shall be restricted to R4's Elite Users only.

R4's Elite Users request the following process be practiced to ensure accurate corrections/changes:

- All correction requests be submitted by the single point of contact person designated by Service Provider
- Requests for corrections are made in a standardized format, using R4WDB's Indiana Career Connect Correction Request Form [Attachment A] on a weekly, bi-weekly, or monthly basis via email. If a correction/change needs to be expedited, requests may be submitted as needed by the single point of contact. Do not phone in requests.
- When corrections are completed by the Elite Users, the Service Provider designee will be notified by the Elite User.
- Dates cannot be changed on case notes, therefore, when a field is changed in the "Activity" page, the Elite User will note the change or correction in the individual's "service note".

Master/Elite Users will try to make the changes within their users' limits within 48 hours of receiving the Correction Request form.

All other requests the Master/Elite User cannot edit will be forwarded the R4WDB Elite user so that it is sent to the WAFS Ticketing System.

II. Protection of Clients' Personal Information

It is the expectation of DWD that all users of the Indiana Career Connect Case Management System take precautions to ensure that sensitive client information, including Social Security Number (SSNs), not be transmitted over the Internet via e-mail or any other electronic mechanism.

All communications containing SSNs utilize the following format:
XXX-XX-last four digits

If need be, complete SSNs can be dictated, written, or faxed Elite Users.

III. Other Misc. Troubleshooting

All requests for assistance in the areas of system navigation, reporting of outages or system problems, suggestions for improvements/enhancements, policy questions, password resets, and other technical related problems will be submitted by the single point of contact person designated by the Service Provider. That contact person can forward requests to the R4WDB Elite User, at which point it will be submitted WAFS Ticketing System.

IV. Transferring Client Between Regions

A client can be transferred from one region to another region if both One Stop Operators agree (TAB 2009-1). The process to request a transfer is as follows:

- All transfer requests will be submitted in writing via email or letter (sample Attachment B) to the One Stop Operator by the single point of contact person designated by the Service Provider.
- The transfer request must contain:
 - Date of the transfer request
 - Team member's name requesting the transfer
 - The transferee's name and last four digits of the SS#
 - The reason for the transfer request with any supporting documentation
- If the transfer is accepted by the transferring One Stop Operator, the receiving Region's Master User will make the change in Indiana Career Connect, and document the change in the client's case notes within 24 hours.
- Once this process is completed, the participant will only appear in the receiving region's performance and will be eliminated from the previous region's performance (TAB 2009-1).
- The paper file, if any, will be transferred to the receiving Region as soon as possible.
- Paper records, if any, will be retained by the One Stop Operator for clients being transferred out of Region 4 as well as into Region 4.

A transfer would only occur and be necessary for a participant who is in a current period of WIOA participation. The transfer would not affect any prior periods of participation. If the participant has been exited, the requesting WorkOne would need to collect new documentation for WIOA eligibility from the person requesting services. If the participant is in a current period of WIOA participation, the transferring director must provide the receiving director with the original file containing the following:

- Signed Indiana Career Connect Participant Application
- Source documentation for data validation and eligibility requirements.
- All required documents pertaining to any participation in Trade Adjustment Assistance (TAA), Reemployment Assistance (REA) or Worker Profiling and Reemployment Services (WPRS) funded programs
- All retained documents for any assessment activities
- Documentation of any credentials obtained during participation
- Documents related to any training received by the participant during participation, including any attendance records, grades, and transcripts
- Any other documents retained for the purpose of supporting or documenting reported services, or to meet compliance with any DWD policies and procedures for a particular funding source.

In the event of scanned documents, the documents must be printed and labeled as "scanned" before delivery to the receiving director. The transferring director must retain copies of any participant records necessary for audit purposes.

V. Requesting Indiana Career Connect Logon Capabilities

- The team member must request log-on capabilities through his/her Team Leader or Regional Coordinator.
- The "Indiana Career Connect Case Management System Acceptable Use and Confidentiality Policy" must be signed Regional Coordinator or Team Leader (Supervisor). A signed copy must be submitted to TAP before log-on information is assigned. Electronic copy is acceptable.
- The Team Leader or Regional Coordinator must review the request and forward it to the R4WDB Elite User.
- The R4WDB Elite User will submit to DWD.
- DWD will process the request and paperwork and notify new user via e-mail.

Effective Date: July 2018

Attachment A



(DATE)

Region 4 Workforce Board/Tecumseh Area Partnership, Region 4 Regional Operator is requesting that _____ (insert Name and last 4 SS#) be transferred to Region 4 from _____ (region #). We are requesting your approval to make this transfer in ICC. Upon receipt, we will update the organization add the appropriate case note on the client record in ICC.

Please sign this document approving the transfer and return to us as quickly as possible.

When transfer is approved, please send the client files to:

(INSERT ADDRESS)

Authorized signature of Regional Operator from which participant is to be transferred

Date

Region 4 Workforce Board/Tecumseh Area Partnership- Region Requesting Transfer

Date

INDIANA DEPARTMENT OF WORKFORCE DEVELOPMENT

Indiana Career Connect Staff Account Application

First Name: _____

Last Name: _____

Agency: _____ Job Title: _____

Zip: _____ Primary Phone: _____

LWIA Region: _____

Default Office (*see list*): _____

Office(s) to Allow Access (*see list*): _____

Program(s) (*circle at least one*):

- WIOA Trade Adjustment Assistance-TAA
 Wagner Peyser (WP) Generic Programs

Privileges Group (*see appendix A*): _____

Email Address: _____

Position(s) (*circle at least one*):

- DVOP LVER STAFF

Fundable Case Manager? (*Access to Fund Management module*) Yes No
(select all that apply)

WIOA:

- Adult Youth
 Dislocated Worker Statewide Incumbent Worker – Adult
 Statewide Rapid Response Add'l Asst National Dislocated worker Grant (NDWG)
 Non-WIOA Special Grant Local Funded Grant

Trade Adjustment Assistance:

- TAA

Generic Programs:

- State JAG Ready to Work
 Skill Up

INDIANA DEPARTMENT OF WORKFORCE DEVELOPMENT
Indiana Career Connect Staff Account Application

Indiana Career Connect Case Management/Labor Exchange System Acceptable Use and Confidentiality Policy

It is the responsibility of all authorized Indiana Career Connect(ICC) users, (which may include but is not limited to the following: Case Managers, Department of Workforce Development Staff, Regional Workforce Board Staff, Service Provider Staff, and Regional Operator Staff), to safeguard sensitive client information. This information includes all personal information obtained from those seeking assistance from the WorkOne system and its affiliates. Unless otherwise identified by DWD management, all client information entered into the ICC system is confidential and is not to be shared or disclosed to organizations, agencies or individuals outside the Indiana Department of Workforce Development, its authorized representatives/agents, the Department of Labor and/or its authorized representatives/agents, agencies or organizations within the scope of those authorized by the Client's Release forms, partner MOUs, and/or other affidavits insuring confidentiality of records, and which relate to the provision of employment, support, and training services.

One of the primary objectives under Indiana's State Plan is integrated delivery for the overall benefit of the customer. The new mandatory statewide case management/labor exchange system, ICC, is designed to support that objective by allowing for a shared case management process. ICC allows authorized users to view information on all clients who are entered into the system across the state. This information includes case notes, with the exception of those relating to domestic violence, which are required to be "locked down" in the system.

Staff entering case notes should enter complete information needed to support the employment plan, but should refrain from entering any information that is not relevant to the employment plan or that is overly graphic and/or non-essential.

This confidentiality policy will be strictly enforced: Violators will face disciplinary actions that could result in termination of employment.

I have read and understand the above ICC Case Management/Labor Exchange System Acceptable Use and Confidentiality Policy, and agree to its terms.

Please print pages, complete all fields, scan pages into PDF and send to R4WDB Elite User.

User Signature

Supervisor Signature

Date (MM/DD/YYYY)