

File Security, Maintenance, Storage and Custody Policy

Effective Date: December 14, 2023

Policy Statement:

The Region VII Workforce Development Board is committed to ensuring the secure, accurate, and confidential handling of client files in accordance with the Workforce Innovation and Opportunity Act (WIOA) and applicable Code of Federal Regulations (CFRs). This policy outlines the comprehensive guidelines and procedures for the secure storage, maintenance, and chain of custody of client files, as mandated by the WIOA and CFRs.

1. Purpose:

The purpose of this policy is to establish a standardized and secure process for the handling, storage, and maintenance of client files to protect the confidentiality and integrity of client information, as required by the WIOA and CFRs.

2. Definitions:

- 2.1. Client Files: Refers to all physical and electronic records, documents, and information related to individuals receiving services WIOA.
- 2.2. Chain of Custody: The documented process of tracking the movement and handling of client files from the time they are accessed to the time they are returned to secure storage.

3. File Security:

- 3.1. Client files shall be stored in a secure location that is accessible only to authorized personnel, as required by the WIOA (20 CFR 678.500).
- 3.2. Access to client files shall be restricted to staff members who have a legitimate need to access the information for the purpose of providing services or fulfilling program requirements, in compliance with the WIOA (20 CFR 678.500).
- 3.3. Physical access to the area where client files are stored shall be controlled through the use of locks, access codes, or other appropriate security measures, as mandated by the WIOA (20 CFR 678.500).
- 3.4. Electronic client files shall be protected through the use of secure login credentials, encryption, and other appropriate security measures, as required by the WIOA (20 CFR 678.500).

4. File Maintenance:

- 4.1. Client files shall be maintained in a manner that ensures accuracy, completeness, and confidentiality, in accordance with the WIOA (20 CFR 678.800).
- 4.2. All client files shall be clearly labeled with the individual's name, unique identifier, and date of creation, as mandated by the WIOA (20 CFR 678.800).
- 4.3. Any updates or changes made to client files shall be documented, including the date, time, and individual responsible for the modification, in compliance with the WIOA (20 CFR 678.800).

4.4. Client files shall be regularly reviewed and updated to ensure that the information contained within them remains accurate and relevant, as required by the WIOA (20 CFR 678.800).

5. File Storage:

5.1. Physical client files shall be stored in locked filing cabinets or secure storage areas when not in use, as mandated by the WIOA (20 CFR 678.500).

5.2. Electronic client files shall be stored on secure servers or cloud-based platforms with appropriate access controls and backup procedures, in compliance with the WIOA (20 CFR 678.500).

5.3. Backup copies of electronic client files shall be created regularly and stored in a separate, secure location to protect against data loss or system failures, as required by the WIOA (20 CFR 678.500).

6. Chain of Custody:

6.1. A chain of custody process shall be implemented to track the movement and handling of client files, in accordance with the WIOA (20 CFR 678.500).

6.2. When a staff member needs to access a client file, they shall sign out the file using a designated log or electronic system, indicating the date, time, and purpose of the file's use, as mandated by the WIOA (20 CFR 678.500).

6.3. The staff member shall be responsible for the file's safekeeping and shall return it to secure storage promptly after use, in compliance with the WIOA (20 CFR 678.500).

6.4. Regular audits shall be conducted to ensure compliance with the chain of custody process and identify any discrepancies or potential breaches, as required by the WIOA (20 CFR 678.500).

7. Compliance:

7.1. The Region VII Workforce Development Board is fully committed to complying with all applicable WIOA federal requirements and CFRs related to the security, maintenance, and storage of client files.

7.2. The specific WIOA laws and CFRs related to client file security, maintenance, and storage include, but are not limited to:

- a. WIOA Section 188 - Nondiscrimination and Equal Opportunity
- b. 20 CFR 678.500 - Confidentiality and Disclosure of Participant Information
- c. 20 CFR 678.800 - Recordkeeping and Reporting Requirements

8. References:

- Workforce Innovation and Opportunity Act (WIOA)
- Code of Federal Regulations (CFRs) Title 20, Part 678 - Workforce Innovation and Opportunity Act; Final Rule

9. Equal Opportunity and Grievances: The Region VII Workforce Development Board prohibits discrimination in all aspects of the administration, management, and operation of Workforce Innovation and Opportunity Act programs and activities. Services offered at the Region VII WorkForce WV Career Centers will be provided universally without regard to race, color, religion, sex, national origin, age, disability, or political affiliation or belief. Individuals may file a complaint or grievance by following the Region VII Workforce Development Board Grievance Procedure Policy, a copy of which will be provided upon request.

10. Questions: Contact the Region VII Workforce Development Board Executive Director, 151 Robert C. Byrd Industrial Park Road, Suite 2, Moorefield, WV 26836. Telephone number is (304) 530-5258. Fax number is (304) 530-5107.

11. Expiration: Effective until rescinded, in writing, by the Region VII Workforce Development Board.



T.J. Van Meter, Executive Director

12-14-23

Date



Layne Diehl, Chairperson Region VII WDB

12/14/23

Date