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April 25, 2019

TO: All WIOA Subrecipients of the Orange County Development Board

FROM: Carma Lacy
Director of Workforce Development

SUBJECT: CalJOBS Document Imaging and Scanning Information Notice No. 18-OCDB-13 

PURPOSE:

This policy provides instructions on document scanning and electronic signature procedures required when using the Document Imaging and Scanning Module in the CalJOBS system. This policy also mandates and provides guidance on maintaining paperless files.

EFFECTIVE DATE:

This policy is effective on the date of issuance.

REFERENCES:

- Workforce Services Information Notice WSIN 15-7, Subject: Implementation of the New Document Management and Scanning Module (August 8, 22015)

BACKGROUND:

On August 28, 2015, the State of California Employment Development Department (EDD) issued Information Notice (WSIN 15-7) that advised on a new method of collecting and storing supporting documents used for various program verification purposes within the CalJOBS system. This new scanning system will eliminate the participant's need to provide documents multiple times when enrolling or co-enrolling between workforce development programs that are supported in CalJOBS. In addition, the use of document imaging leads to other efficiencies such as a reduction in the reliance on hard copy files and the ability for monitoring of files electronically. The scanned documents will be stored online in a secure, central database.

POLICY AND PROCEDURES:

Document Scanning and Maintenance of Paperless Files

Through the use of Document Scanning, subrecipients are no longer required to maintain hard paper files of participant information that are scanned into the CalJOBS system. Additionally, documents scanned into the CalJOBS system take the place of hard files for verification,



monitoring, and audit purposes. Once properly scanned into the CalJOBS system, paper records should be destroyed (i.e. shredded) and any documents that have been saved to a computer hard drive, desktop, removable media, Cloud storage, or in other environments shall be deleted. Such records shall only be maintained in the CalJOBS system unless a subrecipient chooses to maintain both a CalJOBS electronic file and a paper file.

Subrecipients must ensure that all scanned documents are inspected visually to ensure they are complete, clear, and easily read. Visual inspections for documents that are scanned into CalJOBS system must be complete, clear and legible as well as properly aligned.

Original content of a scanned document must not be altered or modified once it has been finalized. While scanning the original document is preferred, scanning legible verified documents provided by partners may serve as sufficient documentation. Documents uploaded into the CalJOBS system must always be current and kept current through program participation. In addition, case notes must identify the intent and purpose of all documents that are uploaded into the CalJOBS system.

Subrecipients must upload verification documents within CalJOBS as soon as documentation is made available and in accordance with eligibility guidelines and timeframes. Subrecipients must ensure that participant information is accurately reported in CalJOBS and that documents are uploaded for all fields that require verification.

Attaching Documents to Case Notes and/or Activities

All documents pertinent to participant activities should be scanned through case notes and/or activities to support those entries. Subrecipient specific forms that aid in assessing the needs of the participant (e.g. supportive services determination, training eligibility determination, etc.) must be attached to the case notes of specific activities.

Subrecipients must also attach documents to case notes and/or activities for documentation of services that provided under the appropriate activity (e.g. job referral verification, resume assistance, etc.)

Electronic Signatures

Document Imaging includes the addition of electronic signatures to any necessary documents or forms. Signatures may be captured within CalJOBS or using an electronic software such as pDoc Signer or DocuSign. Subrecipients are encouraged to use electronic signatures for participant convenience.

All scanners and signature pads purchased with County of Orange funds are the property of the County of Orange and staff must observe the proper care and use of the equipment. This equipment must also be listed on the subrecipient's Inventory List.

File Naming Convention

When uploading documents into the CalJOBS system, subrecipients must provide detailed names for the uploaded documents, following the naming convention in Attachment I.

Procedures for Uploading Medical and/or Disability-Related Information

When uploading medical and/or disability-related information into CalJOBS, subrecipients shall ensure that these documents are password protected prior to uploading. Subrecipients shall ensure that these passwords are available only to staff and to the County of Orange, should the need arise to review these documents.

Examples of medical and/or disability-related information include:

- Medical/health history
- Disability information
- Doctor's notes
- Disability benefits
- Driver's License indicating the need for corrective lenses
- Individualized Education Program (IEP)

If the document is password protected, please add “**+PASSWORD**” at the end of the filename.

ACTION:

Bring this Information Notice along with the attachment to the attention of all staff.

INQUIRIES:

If you have any questions, please contact appropriate contract administration staff at 714-480-6500.

ATTACHMENTS:

Attachment I: CalJOBS Document Scanning and File Naming Instructions and Procedures

CalJOBS Document Scanning and File Naming Instructions and Procedures

Components of a WIOA (E-) Case File

1. Eligibility Documents

- Barrier documentation
- EO, Grievance, Right-to-Work, etc.

2. WIOA Application (Printed, Signed, and Scanned into CalJOBS)

3. Assessments

- WorkKeys, TABE, etc.

4. Individual Service Plan (ISP)

5. Service and Outcomes Documents

- ITA/OJT - Purchase Orders, Provider info and records, modifications, cancellations, progress reports, and credentials/certificates
- Supportive Services – Requests, receipts, logs, etc.
- Incentives – Justification, logs, etc.
- Stipends – Logs, etc.

6. Performance Indicators

- Credentials, diplomas, degrees, certificates
- Pay stubs, telephone verification
- Test scores, progress reports, etc.

7. Resume

8. Miscellaneous Documents

CalJOBS Document Scanning and File Naming Instructions and Procedures

How to Name Scanned Documents

All Documents scanned or uploaded into CalJOBS will follow these naming guidelines for the file name.

Category-DocumentName-(ClientLastName)(FirstInitial)(last 4 of SSN)

There are four categories: Eligibility, Administrative, Service, and Performance Indicator. Each category is coded with a single or double letter code as in the table below. The table also gives examples of documents that are in this category (though not all).

Category	Description	Examples of Documents
E	Eligibility	<ul style="list-style-type: none">• Eligibility Checklist• Driver's License• Social Security Card• Pay Stubs and Income Worksheet• Public Assistance Records, disability, etc.• Self-Attestation, etc.
A	Administrative	<ul style="list-style-type: none">• Intake Forms - EO Form, Grievance Form, etc.• Signed WIOA Application• Other documents not covered in E, S, or PI
S	Service	<ul style="list-style-type: none">• ITA, OJT, and/or Supportive Service documents such as request forms, payments, invoices, etc., refund documents, etc.• Other documents (where deemed pertinent)
PI	Performance Indicators	<ul style="list-style-type: none">• Credentials, diplomas, degrees, certificates,• progress reports, report cards, test results• pay stubs, employment acceptance letters, etc.

Some examples of proper file names might be:

- E-SSCard-SmithJ1234
- E-PayStubsandIncomeAffidavit-DoeJ3456
- A-PreEnrollmentForms-SmithD9999
- S-ITArequest-DoeD9876
- PI-MedicalAssistantCertificate-SmithB4545

For a medical and/or disability-related document that is password protected, an example might be:

- E-DL-SmithJ1234+PASSWORD
- E-IEP-DoeJ3456+PASSWORD