

# North Central Workforce Development Area

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## LOCAL DIRECTIVE

Directive #: 17-160 REV 6

Date: October 1, 2026

TO: SkillSource Staff and Service Providers  
FROM: Lisa Romine, Executive Director  
SUBJECT: Participant File Maintenance and Data Entry  
SUPERCEDES: Directive # 17-160 Rev 5

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### Summary of Revisions:

- 1) Updates data entry guidance and references to reflect changes in state MIS.
  - 2) Removes references to ETO and substitutes "MIS" or "WA Works".
  - 3) Updates data security requirements specified in data sharing agreements for new state MIS.
  - 4) Updates references throughout.
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This directive is meant to provide guidance and standardized expectations for real-time data, service entry for WIOA Title I activities, and participant information storage, in accordance with [TEGL 10-16](#), [WorkSource Policy 1020 Rev 2](#), [WorkSource Policy 1021 Rev 3](#), and [WorkSource Policy 1029](#). The expectation is that participant information is accurately, completely, and efficiently recorded, and securely stored.

### REAL TIME DATA ENTRY

- Time limits for entering Basic and Individualized, Training, and Support services: Immediately, no later than 14 calendar days after service delivery.
- Staff should update and/or edit Activity End Date, Notes, Actual Outcomes, and other fields in Basic or ITS services as appropriate.
- Changes/corrections to certain data elements may need to be performed by supervisors (Managers, Managing Director, and/or Performance Manager) per instructions outlined in [WorkSource Policy 1020 Rev 2](#). Managers will ensure compliance with data entry timeline requirements.

### SERVICE ENTRY ACCURACY

- When a service is provided, identify the appropriate qualifying service (located in the [WorkSource Services Catalog](#)). The service provided must correspond to the definition provided in the Services Catalog. Service definitions are also provided in the Record Service object in the MIS.
- The first service touchpoint that triggers enrollment will result in the program enrollment activating on the same date.
- Follow-up services, self-service, and providing workforce info do not trigger or extend participation or factor into performance.
- Enter services in the appropriate enrollment based on the funding source for the activity.

- Notes will be entered in the most appropriate object for their content. An initial enrollment note will be entered in the enrollment subsequent to recording first (triggering) service.
- Record all services received by participant that contribute to IEP goals, including training paid for by non-WIOA funds. Specify fund source used for the activity.
- Emails or phone messages left for participants do not constitute services in and of themselves. Record such actions as notes in an enrollment object or in the contact.
- Utilize the last date of service as the program completion date.
- A participant is system exited when 90 days have passed with no qualifying service.
- Application procedure requests Participant disclose their SSN. However, services may not be withheld if the participant chooses not to disclose their SSN. Refusal or inability to disclose the SSN should be indicated during the customer intake.

## **CASE NOTES**

**Initial Note: The First** note is entered in the program enrollment object. This initial note should always indicate the date of application. Tell the applicant's story - briefly.

**Vitals:** Name, age, family status, employment history (type of work), education status.

**Interest:** What have they told you they want?

**Assessment:** What does their assessment tell you? (Skill levels, interests/ barriers)

**Plan:** What is the plan? Brief description of the plan developed with the customer (i.e.: will attend basic skills brush up while attending computer literacy, will explore a work experience and possibly OJT for occupational skills)

**Eligibility:** State clearly what program they are eligible for and will be enrolled in (i.e.: Adult, DW, Youth, other 10%, etc.). If employed at application, state whether they are underemployed (not self-sufficient). For Adults, indicate Priority Level 1-5.

## **Ongoing Notes:**

- \_Make monthly contacts at minimum, more frequent if necessary.
- When assigning a training activity, justify the need for the training. Describe why this training is necessary in terms of skills needed in comparison to their work history and experience. For ITA, describe all other program resources the participant has explored for the training.
- All status changes (new activities/services) entered into the MIS should be reflected in the note with a brief explanation/rationale and corresponding dates (if different from the note date).
- Ongoing or progress case notes for duration services such as OJT, ITA, WEX, etc. will be entered as separate notes in the service object. If the date of the communication with the participant is different than the note date, indicate the date of communication in the note body.
- When documenting counseling/coaching sessions, describe the agreed upon expectations in a measurable way. (i.e. : Brad has been arriving late to work periodically for the past two weeks. Brad has committed to leaving home 10 minutes earlier to make sure he gets to work by 8:00 every morning.) This will help you to assist them with accountability.
- Avoid duplicating information that can simply be inserted in the file (i.e.: listing all classes and resulting grades when the grade report from the school is inserted)
- Recap progress discussions with participants and supervisors/instructors. On site visits must be made monthly, at minimum, for work based learning (WEX, INT, OJT).
- As a general rule, be descriptive yet concise.
- Avoid the use of uncommon or local acronyms and jargon in case notes (i.e. "Adult Priority 2" instead of "LAP2")
- Medical and disability-related information must be kept in a separate file in a secure location apart from the participant fil. Access to this information must be limited to appropriate training staff. Notes in the MIS record may be written to document effects or limitations imposed on the participant instead of disclosing specific medical or disability-related information (for example, say "participant cannot lift more than 20 pounds or stand for longer than one hour" instead of describing medical condition). See [WorkSource Policy 1031](#) for specific guidance.

**FILE STORAGE**

Staff will maintain a physical paper file for all participants enrolled in WIOA Title I and related discretionary programs (EcSA, DWGs, etc.). This file will contain physical copies of eligibility applications and documentation, training contracts, support service authorizations/documentations and receipts, evidence of credential or measurable skill gain, and other pertinent documentation as required by federal and state policy. Participant files will be stored in securely locked containers (cabinets, file boxes or desk drawers) or rooms when not in active use (i.e. when SkillSource staff or other authorized system users are not present). Confidential medical and disability-related information will be stored separately from the participant file as noted above.

**FILE ORGANIZATION**

Staff will follow established file checklists for organization of paper files, using standard six-way file folders. Participant casenote hard copies will not be stored in the participant file. See attachments A and B for participant file checklists.

**MIS DATA SECURITY**

Staff will export WA Works data in Excel format only to approved storage devices with industry-compliant encryption such as SkillSource-controlled servers or organizational OneDrive or Google Workspace folders. Storage on portable devices (including, but not limited to, thumb drives, portable HDDs, CD/DVD, or other unsecure physical media) is prohibited.

At no time will staff transmit WA Works data over non-SkillSource email or any commercially available messaging app or direct messaging.

Printing of WA Works data, to include participant notes, is not permitted.

## Attachment A. Adult/DW/EcSA/DWG File Checklist

| <b>PARTICIPANT FILE CHECKLIST – ADULT/DW/EcSA/DWG</b> |                                                                  |  |                                                         |
|-------------------------------------------------------|------------------------------------------------------------------|--|---------------------------------------------------------|
| <b>Tab 1 – Miscellaneous/ Support Documents</b>       |                                                                  |  |                                                         |
|                                                       | File Checklist                                                   |  | Purchase orders/Payment Receipts                        |
|                                                       | Support Service Analysis & Worksheets                            |  | Exit/Placement From (Green)                             |
| <b>Tab 2 – Eligibility</b>                            |                                                                  |  |                                                         |
|                                                       | WA Works Intake validated (in system)                            |  | EO Notice                                               |
|                                                       | Self-Attestation (if used)                                       |  | WIOA Complaint & Hearing Notice                         |
|                                                       | Verification checklist(s)                                        |  | Data Sharing/SMS Opt-in                                 |
|                                                       | Income and Family Size Worksheet (if used)                       |  | Release of Information                                  |
|                                                       | Verification Documents (I-9 documents, DOB proof,                |  | Summary of initial case note                            |
|                                                       | Release for Publication                                          |  | Other documentation as required                         |
| <b>Tab 3 – State EcSA/CRP Documents</b>               |                                                                  |  |                                                         |
|                                                       | UW Self-Sufficiency Calculator (Initial and updates)             |  | EcSA Monthly Incentive Plan & Progress Tracker          |
|                                                       | EcSA/CRP Incentive Agreement Form (if applicable)                |  | MISA Agreement, Plan and other forms (if applicable)    |
|                                                       | EcSA & CRF Performance Reports & Incentive Forms (if applicable) |  |                                                         |
| <b>Tab 4 – IEP &amp; Assessments</b>                  |                                                                  |  |                                                         |
|                                                       | Individual Employment Plan (signed, updated)                     |  | CASAS Scores                                            |
|                                                       | CareerScope Results                                              |  | Other Assessments                                       |
|                                                       | Resume (if available)                                            |  |                                                         |
| <b>Tab 5 – Training/WFP Activities</b>                |                                                                  |  |                                                         |
|                                                       | <b>OJT:</b>                                                      |  | <b>ITA:</b>                                             |
|                                                       | Contract                                                         |  | Contract                                                |
|                                                       | Assurances A& B                                                  |  | ETPL Documentation                                      |
|                                                       | Tool Agreement (if applicable)                                   |  | Verification of Financial Aid/Application               |
|                                                       | Employer W-9                                                     |  | Employer Interview Forms x 2                            |
|                                                       | OJT Estimate                                                     |  | Application for ITA                                     |
|                                                       | Task Analysis                                                    |  | Training Account Agreement                              |
|                                                       | Occupation Demand documentation                                  |  | CAT or Training Benefit Application (if applicable)     |
|                                                       | Monthly Evaluations                                              |  | Occupation Demand Information                           |
|                                                       | Monthly Invoices                                                 |  | College Refund Policy                                   |
|                                                       |                                                                  |  | College Vocational Plan                                 |
|                                                       | <b>Workforce Prep/Work Readiness:</b>                            |  | Tool Agreement (if applicable)                          |
|                                                       | Workforce Preparation plan information                           |  | School Funding Worksheet                                |
|                                                       | Course descriptions/schedules                                    |  |                                                         |
|                                                       | Progress verification                                            |  |                                                         |
|                                                       | Certificates of Completion                                       |  |                                                         |
| <b>Tab 6 – Measurable Skills Gains/Credentials</b>    |                                                                  |  |                                                         |
|                                                       | Grades/transcripts (ITA)                                         |  | Copy of credentials (Commercial Driver's License, etc.) |
|                                                       | Certificates of Completion                                       |  | Exam Scores                                             |
|                                                       | Other MSG Documentation                                          |  |                                                         |

## Attachment B. Youth File Checklist

| <b>PARTICIPANT FILE CHECKLIST – Youth</b>          |                                                |
|----------------------------------------------------|------------------------------------------------|
| <b>Tab 1 – Miscellaneous/ Support Documents</b>    |                                                |
| File Checklist                                     | Purchase orders/Payment Receipts               |
| Support Service Analysis & Worksheets              | Exit/Placement From (Green)                    |
| Follow-Up Quarterly Information                    |                                                |
| <b>Tab 2 – Eligibility</b>                         |                                                |
| WA Works Intake validated (in system)              | EO Notice                                      |
| Self-Attestation (if used)                         | WIOA Complaint & Hearing Notice                |
| Verification checklist / Youth Verification Record | Data Sharing/SMS Opt-in                        |
| Income and Family Size Worksheet (if used)         | Release of Information                         |
| Verification Documents (I-9 documents, DOB proof,  | Summary of initial case note                   |
| Release for Publication                            | Field Trip Permission                          |
| <b>Tab 3 – Assessments</b>                         |                                                |
| Career Bridge                                      | Strengths Assessment                           |
| WorkKeys                                           | CASAS Scores                                   |
| PAQ                                                | Self-Assessment Questionnaire                  |
| Rating Scale                                       | Other Assessments (as needed)                  |
| <b>Tab 4 – ISS</b>                                 |                                                |
| Individual Service Strategy (signed, updated)      | Goals-Strategy to Attain                       |
| Reflect Interest & Connect to Assessment           | Reflect need for Support Service               |
| <b>Tab 5 – Education Activities</b>                |                                                |
| <b>BASIC SKILLS:</b>                               | <b>COMPUTER BASICS:</b>                        |
| Post CASAS Diagnostic                              | Ic3                                            |
| Incentive Agreement Form                           | MOS                                            |
| Incentive Payments                                 | Certificates of Completion                     |
| GED Certificate/High School Diploma                |                                                |
| Career Readiness Workshop Certificate              |                                                |
| <b>Tab 6 – Work-Based Learning</b>                 |                                                |
| <b>WORK EXPERIENCE:</b>                            | <b>INTERNSHIP/OJT:</b>                         |
| Training Agreement (incl. Amendments)              | Job Analysis                                   |
| Assurances A&B                                     | Training Agreement/Contract (incl. Amendments) |
| Worksite monitoring form                           | Assurances A&B                                 |
| I-9                                                | Timesheet                                      |
| Work Readiness Evaluations                         | Payroll Enrollment/W4                          |
| Timesheets                                         | Occupation Demand Information (OJT only)       |
| Payroll Enrollment/W4                              | Tool Agreement                                 |
| Parent/School Authorization                        | WorkKeys Assessment                            |