Region 4 Workforce Investment Board
TrackOne Policy

PURPOSE: To set forth guidance on service provider procedures for the submission of TrackOne corrections, deletions, transfers, and login information requests to Region 4 Workforce Investment Board's TrackOne Master 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, TTGB 2006-05, TTGB 2006-06, TTGB 2006-18, TTGB 2006-19

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.

TrackOne shall be the only case management system used for the following funding sources: Workforce Investment Act (WIA), Wagner-Peyser (W-P), Trade Adjustment Assistance (TAA), Veterans, Workforce Innovation in Regional Economic Development (WIRED), Major Opportunities and Career Advancement Account (CAA) programs. 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 for the WIA, W-P, TAA, Veterans, WIRED, and CAA funding sources utilize the TrackOne Case Management System AT THE POINT AND TIME OF SERVICE to the participant with the exceptions of the following circumstances (TTGB 2006-06):

1. Documented Internet Service Provider outage
2. Scheduled maintenance of TrackOne or emergency outage documented by the vendor (@Work Solutions)
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 WIA or TAA

Data entry delay due to any of the proceeding exceptions shall be entered in to TrackOne within three (3) business days following restoration of system access. TrackOne is programmed to prohibit the back-dating of service delivery records greater than three (3) business days from the current date (TTGB 2006-06).

I. Data Correction Protocol

Changes/corrections (after the three-day window) to individual data elements critical to performance calculations in the current program year shall be restricted to R4WIB's Master Users only (TTGB 2006-05, TTGB 2006-18).

R4WIB's Master 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 the each Service Provider
- Requests for corrections are made in a standardized format, using R4WIB's TrackOne 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 Master User, the Service Provider designee will be notified by the Master User.
- Dates cannot be changed on case notes, therefore, when a field is changed in the "Activity" page, the Master User will note the change or correction in the individual's "service note".

R4WIB Master 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 User cannot edit will be forwarded to the @Work Solutions Help Desk. Corrections to clients who have exited and corrections to closed conversation records are made by DWD selected staff. Only DWD selected staff can delete records in TrackOne, and only after Master User and DWD Staff review and approve the request (TTGB 2006-18). Therefore, it is especially critical for these types of requests that the field "Reason for Correction" in the Correction Request form be explained.

II. Protection of Clients' Personal Information

It is the expectation of DWD that all users of the TrackOne 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 in to TAP's Master 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 R4WIB Master User, at which point it will be submitted to TrackOne Help Desk for review and response (TTGB 2006-18).

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 TrackOne, 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 WIA 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 WIA eligibility from the person requesting services. If the participant is in a current period of WIA participation, the transferring director must provide the receiving director with the original file containing the following:

- Signed TrackOne 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 anyDWD 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 TrackOne Logon Capabilities

- The team member must request log-on capabilities through his/her Team Leader or Regional Coordinator.
- The Team Leader or Regional Coordinator must review the request and forward it to the Regional Master User.
- The Regional Master User will approve or deny the log-on request.
- If the request is approved, the Master User will contact the @Work Solutions Help Desk in order to obtain the log on capabilities. The following information is required from the requesting individual:
  - Name of individual
  - Title/role of individual
  - Site/location for which log on requested
  - Email address
  - Workgroup and rights needed
  - Reason for request
  - Notice of approval

- The "TrackOne 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.

- @Work Solutions will process the request and paperwork and notify TAP that the team member now has log on capabilities for the locations requested. TAP will forward the log on information directly to the user.

Effective Date: July 1, 2008
Revised: July 1, 2011 to reflect WIB status
Revised July 2012 to reflect DWD TAB 2009-1
Revised August 2014 to reflect revised TrackOne Access Request

Attachment A

EGR 4 Service Provider Track One Change Request Form

Name	SS#	Funding Stream*	Office service initiated	Code	Service Date	*Correction*	Planned End Date	*Correction*	Actual End Date	*Correction*	Reason for correction	Case Manager	Date corrected / Master User	Case Manager Review of correction

*Especially important for clients who are enrolled in more than one program (funding source)

Attachment B

Region 4 WORKFORCE Board
Tecumseh Area Partnership, Inc.

(DATE)

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

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

____

976 Mezzanine Drive · Suite C · Lafayette · IN · 47905 · Phone (765) 477·1710 · Fax (765) 471·7830
www.Region4WorkforceBoard.org

INDIANA DEPARTMENT OF WORKFORCE DEVELOPMENT
TrackOne Case Management System Acceptable Use and Confidentiality Policy

It is the responsibility of all authorized TrackOne 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 TrackOne 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 program delivery for the overall benefit of the customer. The new mandatory statewide case management system, TrackOne, is designed to support that objective by allowing for a shared case management process. TrackOne 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 TrackOne Case Management System Acceptable Use and Confidentiality Policy, and agree to its terms.

Please print the below bolded information

______________________	______________________	______________________
Name of Authorized User	**Job Title**	**Date**
Authorized User's Employer	**Region(s)**	**County**
Work Phone	**Email Address**	

____

Organization: Location(s) of Office(s) Specify location(s) were access is needed

Rights: (circle or highlight one)

Editable (Default) **Read Only**

____

Workgroups (default V3 Workforce-Doc Stor) (List all workgroups that access is needed)

______________________ ______________________

Supervisor Date