

EXECUTIVE SUMMARY

The purpose of this directive is to provide guidance on compliance with the requirements of handling and protecting personally identifiable information (PII). As part of their grant activities, work2future (including WIOA service providers) may have in their possession large quantities of PII relating to their organization and staff; partner organizations and their staff; and individual program participants. This information is generally found in personnel files, participant data sets, performance reports, program evaluations, grant and contract files and other sources. All parties in possession of PII are required to take aggressive measures to mitigate the risks associated with the collection, storage, and dissemination of PII.

REFERENCES

- U. S. Department of Labor (DOL), Employment and Training Administration (ETA), Training and Employment Guidance Letter (TEGL) 39-11, *Guidance on the Handling and Protection of Personally Identifiable Information (PII)* (June 28, 2012).

POLICY AND PROCEDURES

Federal regulations require that PII and other sensitive information be protected. All WIOA funded agencies (including WIOA service providers) must secure transmission of PII and sensitive data developed, obtained, or otherwise associated with WIOA funds and must comply with all of the following:

- Ensure PII is not transmitted to unauthorized users and all PII and other sensitive data transmitted via email or stored on CDs, DVDs, thumb drives, etc., must be encrypted.
- Take the necessary steps to ensure the privacy of all PII obtained from participants and/or other individuals and to protect such information from unauthorized disclosure.
- Ensure that any PII is obtained in conformity with applicable Federal and State laws governing the confidentiality of information.
- Acknowledge that all PII data shall be stored in an area that is physically safe from access by unauthorized persons at all times. Accessing, processing, and storing of PII data on personally owned equipment, at off-site locations (i.e. employee's home, personal email), is strictly prohibited unless approved by ETA.
- Ensure all employees and other personnel who will have access to sensitive, confidential, proprietary, and/or private data (1) are advised of the confidential nature of the information and of the safeguards required to protect the information; and (2) are advised that, per Federal and state laws, civil and criminal sanctions may be imposed for noncompliance.

- Have in place policies and procedures under which all employees and other personnel acknowledge (1) their understanding of the confidential nature of the data; (2) the requirements with which they are required to comply when handling such data; and (3) that they may be liable to civil and/or criminal sanctions for noncompliance with statutory nondisclosure requirements.
- Must not extract information from data supplied by the CalJOBS system for any purpose not stated in the grant or agreement with work2future WDB.
- Access to any PII must be restricted to only those employees who need it in their official capacity to perform duties in connection with the scope of work in the grant or agreement with work2future WDB.
- All PII data must be processed in a manner that will protect the confidentiality of the records/documents and is designed to prevent unauthorized persons from retrieving such records by computer, remote terminal or any other means. Data may be downloaded to, or maintained on mobile or portable devices only if the data are encrypted.
- Must permit work2future WDB, Federal and/or State staff to make onsite inspections during regular business hours for the purpose of conducting audits and/or conducting other investigations to assure that the WIOA funded agency is complying with the confidentiality requirements described in this policy.
- Must retain data received only for the period of time required to use it for assessment and other purposes, or to satisfy applicable Federal records retention requirements, if any. Thereafter, the grantee agrees that all data will be destroyed, including the degaussing of magnetic tape files and deletion of electronic data.
- Protected PII is the most sensitive information encountered in the course of grant work, and it is important that it stays protected. WIOA service providers and funded agencies are required to protect PII when transmitting information, but are also required to protect PII and sensitive information when collecting, storing and/or disposing of information as well.
- Outlined below are some recommendations to help protect PII:
 - Before collecting PII or sensitive information from participants, have participants sign releases acknowledging the use of PII for grant purposes only.
 - Whenever possible, use unique identifiers for participant tracking instead of SSNs. While SSNs may initially be required for performance tracking purposes, a unique identifier could be linked to the each individual record. Once the SSN is entered for performance tracking, the unique identifier would be used in place of the SSN for tracking purposes. If SSNs are to be used for tracking purposes, they must be stored or displayed in a way that is not attributable to a particular individual, such as using a truncated SSN.
 - Use appropriate methods for destroying sensitive PII in paper files (i.e., shredding) and securely deleting sensitive electronic PII.
 - Do not leave records containing PII open and unattended
 - Store documents containing PII in locked cabinets when not in use.

Exceptions

Any exceptions to this policy must be approved by the work2future-Director, Program Manager, or the authorized representative of the WIOA Service Provider and documented in the participant file.

INQUIRIES

Please contact the work2future Administrator on duty, work2future.MIS@sanjoseca.gov, for any questions regarding this policy.