



**PROGRAM NOTICE: PN-5**  
**SUBJECT: Archiving File Procedure**  
**EFFECTIVE: 08/16/2017**  
**REVISION: 09/15/2017; 06/17/2020**

### **Background**

The intent of this procedure is to provide instructions on the archiving process for Workforce Innovation and Opportunity Act (WIOA) and other Benton-Franklin Workforce Development Council (BFWDC) funded program participant files. Statewide Data Validation is conducted on an annual basis and accurate record keeping is essential in-order to locate and retrieve participant files when needed.

### **Files to Archive**

- Participant files that have completed the follow-up period.
- Negative and neutral exits that have been retained in the contracted agency's retention file cabinet for 12 months.
- All confidential files (medical/criminal background) shall be placed with their corresponding retention file and rubber banded together.

### **Archiving Paper Files Procedure**

1. A hard copy of all Management Information System (MIS) case notes (active and follow-up) shall be printed and placed in participant files.
2. All participant files contained within the archive box shall be labeled. Labels should be typed and placed on the tab of each individual participant file. Each label shall contain the participant's last name, first name, MIS #, exit date and program name as illustrated below.

Last Name, First Name  
MIS #  
Exit Date  
Program Name

3. Participant files shall be grouped by program and arranged alphabetically by last name in the archive box. Make sure the box is not overfilled and the files can be easily removed.
4. Each box requires its own Participant Summary with the corresponding information for each participant in alphabetical order, as illustrated below:

### Participant Summary

MIS Number	Last Name, First Name	Program Name	Enrollment Start Date	Enrollment End Date	Employment Specialist

5. If a file(s) did not get archived in the appropriate year, they shall be placed together in a box with a completed Participant Summary. An email shall be sent to [bf-support@bf-wdc.org](mailto:bf-support@bf-wdc.org) indicating the number of files that were not appropriately archived and why. If files continually do not get archived in the appropriate year, a plan of action will be required to ensure accurate tracking of participant files.
6. The Subrecipient Program Manager/Supervisor shall sign and date the bottom of the Participant Summary acknowledging a quality review has been completed.
7. Place the signed/dated Participant Summary inside the box and email an electronic version to [bf-support@bf-wdc.org](mailto:bf-support@bf-wdc.org) for in-house tracking purposes.

### Transfer of Paper Files Timeline

- Archive boxes shall be transferred to the BFWDC between August 1<sup>st</sup> - August 31<sup>st</sup>.
- The Subrecipient Program Manager/Supervisor shall call the BFWDC in advance to coordinate a time to drop off archived boxes.

### Archive Storage Boxes

The BFWDC will provide archive storage boxes upon email request to [bf-support@bf-wdc.org](mailto:bf-support@bf-wdc.org).

### Archiving Electronic Files Procedure

1. All electronic files to be archived are to be stored in a password protected file on the Contracted Agency’s share drive.
2. Each program is to be placed in its own folder by year and labeled accordingly.
3. Each electronic participant file should be labeled as illustrated below:  
Last Name, First Name, MIS #
4. Between August 1<sup>st</sup> and August 31<sup>st</sup>, the Subrecipient Program Manager/Supervisor shall send an email to [bf-support@bf-wdc.org](mailto:bf-support@bf-wdc.org) stating that all electronic files have been archived, the location on the shared drive, and the password for access if available.
5. Each program requires its own Participant Summary with the corresponding information for each participant in alphabetical order as illustrated below:

### Participant Summary

MIS Number	Last Name, First Name	Program Name	Enrollment Start Date	Enrollment End Date	Employment Specialist

6. The Subrecipient Program Manager/Supervisor shall sign and date the bottom of the Participant Summary acknowledging a quality review has been completed.
7. Electronic copies of the Participant Summaries are to be emailed to [bf-support@bf-wdc.org](mailto:bf-support@bf-wdc.org).

8. Subrecipient Program Manager/Supervisor or Data Analyst will transfer files to a flash drive and deliver them to the BFWDC. Files will be saved to a password protected file on the BFWDC Shared Drive until the appropriate date to be destroyed.
9. The BFWDC will verify the information on the flash drive matches the provided participant summaries.
10. If access has been granted, the BFWDC will go into the agency's Shared Drive and delete files after they have been transferred to the BFWDC. If access is not possible for BFWDC, arrangements will be made to come to the site and oversee the deletion of files.