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**FROM:** (MFIP/DWP/SNAP) Employment Services Division Manager

**SUBJECT:** File Management Reference & Retention Guide

**PURPOSE:** To establish system-wide case file management reference guidance and retention plan for the management of file records

**BACKGROUND:****1. FILE MANAGEMENT:**

To provide guidance to MFIP/DWP Providers on establishing a system-wide file management procedure to ensure file integrity and a uniformed file assembly format. The MFIP/DWP File Management isn't agency specific. The intent of the file management guide is to provide general guidelines to ES Providers on assembling and maintaining participant case files.

Workforce Solutions is not requesting MFIP/DWP providers to reassemble or change their existing file management system to adhere to the file management guide. The file management guide provides general guidance as to the type of documents that should be included in participant file folders. Folder sections may vary by ES providers, but the files should include sections identified in the reference guide below.

**2. RECORDS RETENTION SCHEDULE:**

The purpose of a records retention schedule is to provide a plan for managing government records. It is Ramsey County's policy that the County and contracted providers for MFIP and DWP will collect and store all data on individuals, and use, and/or disseminate private or confidential data to the extent *necessary* for the administration and management of its programs and functions ([MS § 13.05, sub. 3](#)).

Ramsey County has adopted the [Minnesota General Records Retention Schedule](#) for Counties. The retention for public assistance client files stated on the schedule applies to any form of the record (paper, computer tape or disk, microfilm, optical disk, electronic media, etc.). Records may be destroyed once the retention period below has been reached.

- For cases closed prior to December 31, 2013, the retention schedule is seven years.
- For cases closed January 1, 2014 and after, the retention schedule is ten years.
- Case files are to be located for three years on-site and located for 7 years off-site.

**PROCEDURES:**

The case file reference guide is to provide guidance for MFIP/DWP providers to assemble and maintain participant files. Please note that not all documents are listed on the reference guide. Please use your best discretion and organize MFIP/DWP documents as it relates to the sections. The most recent documentation should be on top.

## MFIP/DWP File Management Reference Guide

<b>INFORMATION</b>
1. Client and Family Information- license/ ID/SS Card/ immigration documents, and other related documents)
2. WF1 Referral
3. Intake Checklist & Initial Assessment
4. Authorization to Communicate by Email/Text
5. Rights and Responsibilities
6. Releases of Information/Data Privacy
7. Status Changes/Address Updates
8. Car (title, registration and insurance)
9. Background check
10. Other: any other client/family information not on list
<b>CASE NOTES</b>
1. WF1 case notes: printout only if required for audits
2. Outcome summary at WF1 closure (end of sequence)
3. Other related information: Activity printouts/MIS related datas
<b>ASSESSMENT</b>
1. 48- month Supplemental Interview
2. Chemical Health Assessment
3. Career Bridge Tools
4. Employability Measure (if applicable)
5. FSS Checklist
6. FSS Eligibility Screening Form
7. MFIP/DWP Observation Checklist
8. MFIP Self Screen Form and Scoring Form
9. My Bridge of Strength
10. Learning Disabilities screening tool (if applicable)
11. Psychological/vocational assessments and other pertinent datas
12. WorkKeys, WRATE test, and other related test results
13. Other: any other assessments materials/test scores not on list.

<b>EMPLOYMENT PLAN</b>
1. Goal Action Plan Form
2. Signed Employment Plan (in chronological order)
3. Support documentation for EP-Verification and Attendance forms
<b>Employment:</b>
4. Employment Verification Form
5. Pay Stubs (if applicable)
6. Self-employment (documentation and business plan)
<b>Education/Training:</b>
7. Attendance Reports
8. Certification/Diploma
9. Financial Aid Information
10. Grades/Progress Reports
11. MFIP Education and Training Guide Form
12. School Verification form/Schedule/Study hours verified
13. Training (program Information)/Verification
<b>Job Search:</b>
14. Activity Logs & Job Club attendance
15. Bi-monthly job verification (business cards/job application)/follow-up
16. Cover and Thank You letters
17. Resume
<b>Social Services</b>
18. Medical Opinion Forms
19. SSI Documentation
20. Social Services logs
21. Other supporting documentation/logs
<b>Unpaid Work:</b>
22. Time Sheet /Attendance Log
23. Worksite information/verification form
24. Workshop indicators and referrals (if applicable)
25. Worksite Agreement (if applicable)
26. Injury Protection Program forms (if applicable)
27. Other: any other support documentations for activities not on list
<a href="#">*Refer to Appendix E (MFIP Activity Table), Appendix E-2 (Activity Tip sheet) for more details on documentation and verification.</a>
<b>CORRESPONDENCES</b>
1. All Letters, Appointment notices, Email, Fax's (other)
2. Child Care Transmittals

3. Court or other legal documents
4. Incident Report
5. Notice to attend Overview
6. Referrals to SSI, ARMHS, other programs and services
7. Sanction NOITS and Letters
8. Status Updates
9. Verification of applications for other services (ex: SSI, Household Report, Childcare application, if applicable)
10. Participant case transfer form
11. Face-to-face Extension checklist
12. Extension Decision Form
13. Supporting documentation related to extension
14. Other: any other correspondences related to case
<b>SUPPORT SERVICES</b>
1. Copies of documents to support gas cards or bus cards or other forms of transportation reimbursement
2. Support/Payment Request form related to request
3. Support estimates and/or receipts related to request
4. Documentation of gift cards (signed form if applicable)
5. Job Retention support (transportation or work related)
6. Documentation related to training employment costs
7. Housing support/needs
8. WF1 Support Services printouts (if applicable)
9. Other: Any other documents needed for fiscal review or audit

**CONTACT:** Your Agency Lead Planner