

RECORDS MANAGEMENT

Individuals who apply or enroll in the Program must have a legal participant record in the Regional or Contractor Office.

- It is recommended that file content be organized in sections.
- Documents must be filed in descending chronological order within their appropriate section.
- Participant records must be kept in a locked centralized filing area.

Records Retention:

- All records must be retained until the participant file is closed.
 - All closed participant records will be forwarded to the Regional Office (RO) upon request.
- An incomplete referral or an incomplete application for enrollment will be retained for three (3) months before the record is destroyed.
- A complete application for enrollment (signed CC-1 Application for Enrollment Form) which is determined ineligible shall be retained and microfilmed.

Preparing Legal Files for Microfilming After Closure of a SHS Record

Files must be appropriately prepared before sending them to the Regional Office for microfilming. Prior to forwarding the file:

- Write the participant name, DCN and date of birth in pen on the file tab.
- Remove all staples, paperclips, dividers, and duplicate copies. (Shred all duplicates with identifying information, such as names and DCNs, which are removed.)
- All perforated forms should be separated at the perforation.
- Tape anything smaller than 3 x 5 on an 8 ½ x 11 sheet of paper. All information should be visible. Tape all four sides completely so no edge is loose.
- Remove post-it notes and tape to another sheet of paper.
- Remove any previously used tape. (Sticky surfaces will get stuck in the microfilm machine.)
- Cut off rough edges (spiral notebook paper edges, etc.).
- Correct participant's name on the file folder to match the current name in the SHS Information System.
- Number each file folder if there are more than one for a participant.
- Assure all papers are facing up.
- Write on the outside of the file in pencil "microfilm ready".