



EMPLOY MILWAUKEE DESK AID

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Archiving Participant Files

It is the responsibility of the funded entity to maintain compliance with all applicable laws, regulations, grant provisions, contractual obligations, and local policies governing the administration of awarded funds. Technical assistance provided by Employ Milwaukee (EMI) is intended to support funded entities in meeting these requirements and implementing effective program practices.

EMI is responsible for the archival storage of participant files once they have been prepared and submitted in accordance with the requirements outlined below.

Because participant volume and turnover vary by program, funded entities should consult with EMI program management to determine the appropriate frequency for preparing and delivering files for archiving. Participant files submitted for archiving must be complete, properly organized, and prepared in accordance with standards established by EMI.

Medical and disability-related information must continue to be maintained separately, as required by EMI's Medical and Disability Related Information Collection and Storage policy, located on EMI's website under [Agency Policies & Admin Memos](#). Failure to comply with these requirements may result in delays in acceptance of archived files and requests for corrective action prior to submission.

Participant File Requirements

Each participant file must:

- Be placed in an individual manila folder. Participant files composed of chipboard or sectioned file folders, as these will not be accepted due to storage limitations.
- Be stored within a letter size bankers box designated for archiving.

Folder Labeling Requirements – Main and Medical Files

Each manila folder must be labeled with the following information:

- Participant Name (Last Name, First Name)
- Participant ID Number (Some programs may assign more than one participant ID number. Consult with EMI program management to determine which ID number should be used.)
- Exit Year

All labeling must be:

- Printed and legible
- Displayed on the folder tab
- Visible above the documents contained within the file

Bankers Box Labeling Requirements

Medical files must be separated from main participant files and stored in separate bankers boxes. Use of letter-size bankers boxes is required.

Each box must contain participant files sorted in alphabetical order by participant last name and must be labeled with the following information in clear, legible print:

- Program Name (only one program per box)
- Alphabetical Range of Files (e.g., A–F)
- Program Year (only one year per box)
- Purge Date
- The word “Confidential” displayed prominently on bankers boxes housing medical files.

Purge Date Requirements

Purge dates must be calculated in accordance with EMI's Local Records Retention policy, located on EMI's website under [Agency Policies & Admin Memos](#). Participant main and medical files must be retained for three (3) years following the participant's common exit or program end date, whichever is applicable. All purge dates must reflect December 31 of the applicable purge year.

Example:

- Participant Exit Year: 2022
- Purge Date: December 31, 2025

Additional information regarding records retention can be found in EMI's Local Records Retention policy, located on EMI's website under [Agency Policies & Admin Memos](#).

File Delivery

Once files have been prepared and labeled according to these requirements, notify your EMI Program Specialist or designee to coordinate delivery of the archived files.

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