	PARTICIPANT FILE FORMAT

Department: Office of Economic & Workforce Development	Effective Date: Oct 1, 2009
Policy/Procedure #: GF114-Y	Supersedes: N/A

Overview

In order to ensure consistency among Providers, a standard participant file format is required. Standardizing the format also helps Providers to easily identify missing documents and helps to ensure that auditors (internal or external) are able to find required documents and support information with ease.

File Layout

File Exterior: The file's exterior tab will contain the participant's name, last name first (for filing purposes) and the participant ID number.

File Interior: The documents housed in a participant's file will be filed in a prescribed order. Documents will be in the order of the service flow and will include:

- **Universal Application**
- **Photo ID**
- **Proof of Age**
- **Proof of San Francisco Residency**
- **Signed OEWD Release of Info Form**
- **Participant Rights and Responsibilities**
- **CASE NOTES**
- **Enrollment Form**
- **Individual Service Strategy Form (ISS)**
- **Appraisal Test**
- **PRE-and POST-Test – TABE/CASAS Assessment Tool for Math and Reading**
- **Support Service Eligibility/Authorization Form**
- **Exit Form**
- **Follow Up Forms (1st, 2nd, 3rd, & 4th qtr)**
- **Proof of Education, Training, Employment]**

File Type

Providers will use standard 8.5"x11" manila file folders. Legal or irregular files are not allowable. This is of particular importance as files are often transferred from one provider to another through the course of service.

File Maintenance

Providers must maintain files in a **locked** file cabinet or other appropriate storage space to ensure the security of participant case files. Providers should always retain original documents associated with the services they have provided directly. When transferring files, copies will be sent to the receiving Provider. Providers will maintain participant files for a period of no less than five (5) years from the point of exit.