



RES Program File Retention Policy

RESEA, SUB and JFH



Beginning RES PY19, DWD will require all RES letters, IRPs, and Work Search Logs to be scanned into the individual claimant's ICC Document File for UI Adjudication purposes if they were not saved in the claimant's ICC Communication Center.

1. RES Claimant paper or electronic files are to be kept for 4 years from the Benefit Year End (BYE) date.
 - Keep current and the previous paper year's file *secured*, but easily accessible to staff
2. Scanned files can be left in the claimant file indefinitely unless space becomes a problem down the road.
3. Paper files need to be stored and disposed of following the DWD File Retention policy-including labeling of the boxes:
 - Files should be alphabetized and filed neatly by program in case of audit. Initial and SUB files must be kept in 1 file folder.
 - Please clearly mark the file boxes with the program name, program year, and box number if more than 1 box is necessary:

Example: RESEA Initial/SUB+JFH PY 2019: January 1, 2019-Dec. 31, 2019; Box 1 of 2

1. Rotate in a new box, pull the old box.
2. 5. Records older than 4 years must be shredded, but first:
 - A SF16 Notice of Destruction form must be completed and approval received from Emily Wright BEFORE any shredding can begin: EWright@dwd.in.gov
 - The SF16 form can be ordered from the DWD stockroom inventory
 - *If huge numbers of old files need destroyed Procurement must handle these arrangements.*

Keep in mind, you must keep all files for current claimants in your active files. A claimant is still considered active for RES after completing their IRP. They must be paid out of their UI claim or the claim has expired, along with any extensions before storing hard files.

Please forward this email to other RES staff as appropriate and email [Emily Wright](mailto:EWright@dwd.in.gov) at (EWright@dwd.in.gov) or [Catherine Lawell](mailto:CLawell@dwd.in.gov), Director of Re-Employment Pathways (CLawell@dwd.in.gov) with any questions regarding UI Program file retention.

DWD is committed to keeping all claimant or client information secure during both storage and disposal. All paper files with client personal identifying information must be disposed of properly-***never in a trash can or dumpster.***