



Record Retention Policy – Revised June 15, 2016

(replaces revision made on July 1, 2012)

Effective Date – July 1, 2016

I. PURPOSE:

The purpose of this document is to provide entities awarded a subcontract or agreement through the North Central Workforce Development Board with the Record Retention Policy for the North Central Local Workforce Development Area.

II. BACKGROUND:

Grantees, subrecipients, and contractors funded under the Workforce Innovation and Opportunity Act (WIOA) must abide by WIOA law, regulations, and guidance, state and local WIOA policies.

III. REQUIREMENTS:

A. The grantee shall maintain adequate records relating to its performance under this Grant and shall permit the North Central Workforce Development Board (NCWDB) and the Commonwealth to have access to all records directly related to the administration of this Grant, and make available to the NCWDB and the Commonwealth, or any duly authorized representative, any books, documents, papers, and records for the purpose of monitoring, audits, examination, excerpts and transcriptions. Records shall be maintained for not less than three (3) years after the close of the applicable Program Year (PY).

B. If, prior to the expiration of the three (3) year retention period, any litigation is begun or a claim is instituted involving the Grant covered by the records grantee shall retain the records beyond the three (3) year period until the litigation or claim has been finally resolved.

C. Grantee agrees to maintain any statistical records required by the NCWDB and the Commonwealth and to produce statistical data at times and on forms prescribed by the NCWDB and the Commonwealth.

D. Records must be retained and stored in a manner that will preserve their integrity and other proceedings. The burden of production and authentication of the records placed on the custodian of the records;

E. Records related to Nondiscrimination and Equal Opportunity provisions of the WIOA must be retained for a period of not less than three (3) years from the close of the applicable Program Year (PY). This includes the following:

- The records of applicants, registrants, eligible applicants / registrants, participants, exiters, employees and applicants for employment; and
- Such other records as are required under Part 29 CRF 37.39.
- Records regarding complaints and actions taken on the complaints must be maintained for a period of not less than three (3) years from the date of the resolution of the complaint.

For TANF Youth Development and EARN Participant Records: All documentation with the participant's signature must be kept in paper format. Documents must be retained for seven years from when the document (or file) was created.

IV. EXPIRATION:

Ongoing

V. INQUIRIES:

Questions shall be directed to:

Pamela Streich, Executive Director at pstreich@ncwdb.org; or

Donna Hottel, Strategic Planning and Project Manager at dhottel@ncwdb.org

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