

EOWB # A-004	Effective Date: 08/09/16
	Revised: 10/15/2019
Record Retention & Disposal	☐ New ☒ Revised
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PURPOSE

To establish the requirement for EOWB, its contractors and sub-recipients to maintain and retain records of fiscal and program activities funded under the Workforce Innovation and Opportunity Act (WIOA). With few exceptions, such records shall be made available to the public.

POLICY

EOWB, any contractor, and sub-recipient of WIOA funds will incorporate into their management systems the following for the management of all WIOA records.

EOWB, its contractors, and sub-recipients must comply with Federal record retention rules and regulations and shall:

Retention

1. Retain all records and documents pertinent to the grants, grant agreements, interagency agreements, contractors, or any other award, including financial, statistical, or other pertinent records, and supporting documentation, for a period of at least three years after the submission of HECC's final expenditure report (closeout) for that funding period. This would include the following:

Nonexpendable property	Program Income Transactions	Applicants
Cost Allocation Plans	Registrants	Eligible Applicants/Registrants
Indirect Rate Proposals	Employees, Separated	
2. Retain records regarding complaints and the actions taken on the complaints, for a period of not less than three years from the date of resolution of the complaint;
3. Retain all records beyond the required three years if any litigation or audit has begun or a claim involving the grant or agreement covered by the records. All records, involved in litigation, audit, or claim, shall be retained until it been resolved or the required three years, whichever period is longer.
4. Retain all records of non-expendable property for a period of at least three years after final disposition of property.

Copies of records made by microfilming, photocopying, or similar methods may be substituted for the original records if they are preserved with integrity and are considered as admissible as evidence. In the event that the sub-recipient is unable to keep their records, EOWB or other WIOA contractor or sub-recipient will be responsible for the maintenance and retention for their own records as well as the records of any contractor or sub-recipient unable to maintain and retain its own records in accordance with the periods contained in this policy.

Disposal

All documents must be destroyed on the same maintenance and destruction schedule as set out by law. If there is any outstanding litigation or audit claim begun on records prior to termination of retention, the records will be retained until resolution of litigation or audit claim.

The Controller is responsible for the ongoing process of identifying which records have met the required retention period. The Controller will provide the notification to sub-recipients and EOWB staff the appropriate records to be disposed.

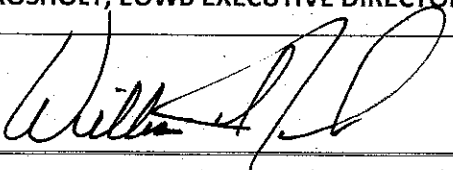
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Any records that are confidential in nature, including participant records, must be shredded, or similarly destroyed. Non-confidential records may be recycled.

REFERENCES

CFR Title 2, Chapter II, Part 200, Subpart D, §200.333

ORS Chapter 192, Records

ADOPTED AT EOWB REGULAR MEETING	DATE: 04/17/2018
WILLIAM ROSHOLT, EOWB EXECUTIVE DIRECTOR	EFFECTIVE DATE: 04/17/2018
SIGNATURE 	DATE 2-5-2020