

Technical Assistance Guidance

TAG 19-2017

Issued Date: **Monday, December 18, 2017**

Subject:

Local Workforce Development Board (LWDB) - Workforce Connections (WC)
Policy Implementation Revision(s) & Update(s)

Retention Requirements for Records

Purpose

To announce the publication and effective date for implementation of revisions/updates made to the record retention requirements in the following policies:

- **Admin-010-04 Record Retention**
- **GEN-050-01 Equal Opportunity Standards and Grievance Process**
- **GEN-050-04 Change of Service Provider**

Background

Financial records, supporting documents, statistical records, and all other non-Federal entity records pertinent to a Federal award must be retained in compliance with Federal, State or local established regulations. Recipients of funds under Title I of the Workforce Innovation and Opportunity Act (WIOA) must keep records that are sufficient to permit the preparation of required reports by this Title and to permit the tracing of funds to a level of expenditure adequate to ensure that the awarded funds have not been spent unlawfully.

References

Workforce Innovation and Opportunity Act (WIOA) Public Law (P.L.) 113-128 Sec. 185
2 CFR Part 200.333 Uniform Administrative Requirements, Costs Principles; and Audit Requirements for Federal awards – Record Retention and Access
20 CFR Part 683 Administrative Provisions under Title I of WIOA
State Compliance Policy (SCP) 5.4 – Record Retention

WC has established that for the purpose of Federal, State and local record retention requirements, all financial, administrative, statistical, property, applicant and program participant records and supporting documentation must be retained for a period of at least **five (5) years** subsequent to the date of submission of final grant expenditure report. If any litigation, claim, or audit is started before the expiration of the five (5) year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action is taken.

With the commitment to improve processes and after further research and assessment of recently established requirements, WC has revised and implemented the above referenced policies as appropriate.

WC will continue to provide technical assistance to support the workforce development system. For further information, please contact WC as necessary or required. Sub-recipients must implement revised policies since their program(s) will be impacted by the established requirements affecting WIOA Title I compliance.

Action: Please share this information with all staff and other interested parties.

WC policies can be located at: <http://nvworkforceconnections.org>