	<i>Effective Date:</i> 03/09/2018	<i>Type:</i> X Policy <input type="checkbox"/> Procedure <i>Function:</i> Governance	Page 1 of 5
	<i>Revised Date:</i> 00/00/00	<i>Section # &amp; Title:</i> 100 General Administration	
<b>Phoenix Business and Workforce Development Board</b> (approval authority)	<i>Date Approved:</i> 03/08/2018	<i>Subject # &amp; Title:</i> .109 Records Management and Retention Policy	

**I. APPLICABILITY/SCOPE**

This policy applies to ARIZONA@WORK City of Phoenix and all subcontracted providers operating WIOA Title IB programs. The program encompasses all records regardless of physical form or characteristics.

**II. PURPOSE**

This policy establishes administrative and operational guidelines to ensure Workforce Innovation and Opportunity Act (WIOA) Title IB staff properly administer record management processes for WIOA records. This policy will serve as guidance to ensure effective organization, maintenance, storage and final disposition of records within the program in accordance with Federal and State approved record management laws.

**III. BACKGROUND**

Records Retention, regardless of form electronic, paper records, audio recordings, etc. are subject to the same regulations outlined in state statutes, Arizona State Library Archives and Public Records (ASLAPR) and City policies. Records shall be classified and assigned a retention period that shall be approved by the state and included in the City’s Retention Schedules. For purposes of this policy, “records” are defined as all programmatic and fiscal hard copy and electronic documents that pertain to participants and employees of WIOA Title IB programs.


Each Local Workforce Development Board (LWDB) is responsible for ensuring Local Workforce Development Areas (LWDAs) comply with record retention requirements set forth in this policy and are in accordance with the Workforce Innovation and Opportunity Act (WIOA) and other applicable federal and state laws and regulations.

Recipients and sub-recipients of WIOA Title IB federal funds must retain records to ensure program integrity and accountability resulting from activities, services, or employment associated with WIOA Title IB funds. Record retention is necessary to meet legal requirements documenting compliance with governing laws, rules, regulations, relevance in potential future litigation, as well as historic importance.

References: Workforce Innovation and Opportunity Act (P.L. 113-128) Section 185, WIOA Final Regulations 29 CFR 38.43, 29 CFR 97.42, DES Uniform Terms and Conditions and Special Terms and Conditions (see LWDA contracts with DES), Arizona Revised Statutes (A.R.S.) Title 41, Article 2.1, ARS 35-214, Uniform Guidance 2 CFR 200.329, 200.333-337, City of Phoenix Administrative Regulation 1.61.

**IV. DEFINITIONS**

ASLAPR - Arizona State Library Archives and Public Records is the Arizona governing authority for records management.

	<b>Effective Date:</b> 03/09/2018	<b>Type:</b> X Policy <input type="checkbox"/> Procedure <b>Function:</b> Governance	Page 2 of 5
	<b>Revised Date:</b> 00/00/00	<b>Section # &amp; Title:</b> 100 General Administration	
<b>Phoenix Business and Workforce Development Board</b> (approval authority)	<b>Date Approved:</b> 03/08/2018	<b>Subject # &amp; Title:</b> .109 Records Management and Retention Policy	

CFR – Code of Federal Regulations is the codification of the general and permanent rules and regulations (sometimes called administrative law) published in the Federal Register by the executive departments and agencies of the federal government of the United States.

Records Management – Arizona Revised Statute Title 41 Chapter 1 Article 2.1, defines “records management” as the creation and implementation of systematic controls for records and information activities from creation or time received through final disposition or archival retention, including distribution, use, storage, retrieval, protection and preservation.

Record - any documentary material (1) considered necessary in current operations and created or received during public business; (2) required to be retained according to legal statutes or financial practice; or (3) of significant informational value and historical importance. "Records" may include documents, books, papers, maps, photographs, motion pictures, charts, drawings, plans, audio and video recordings, microfilm, scanned images, or information stored using electronic media such as databases, spreadsheets, e-mail, portable communication devices, web-based communications, etc.


Retention period – the length of time mandated to keep a record/file once it is inactive.

**V. POLICY**

A. LOCAL RECORD RETENTION POLICY:

Recipients and sub-recipients, as defined at 2 CFR 200.330, of WIOA Title IB funds must maintain all electronic and hard copy records, including email, for at least the minimum periods outlined in State approved record retention schedules.

1. Records of applicants, registrants, eligible applicants/registrants, and participants *must be retained for a minimum of three years after exit from the program.* This includes eligibility documents, medical documentation, assessments, employment plans, records of activities, documentation of credentials, case notes, sign-in sheets at ARIZONA@WORK Job Centers, and all other records that indicate participation with a WIOA Title IB program.
2. Records of terminees, employees, and applicants for employment administering a WIOA Title IB program *must be retained for a minimum of three years.* This includes eligibility documents, assessments, documentation of credentials, sign-in sheets, employee records and all other records that indicate application or employment with an ARIZONA@WORK Job Center.
3. Records that are related to a discrimination complaint, including actions taken on the complaint, *must be retained for a minimum of three years from the date of final action related to the resolution of the complaint.*
4. Records that are related to any compliance review that uses WIOA Title IB funding


	<i>Effective Date:</i> 03/09/2018	<i>Type:</i> <input checked="" type="checkbox"/> Policy <input type="checkbox"/> Procedure <i>Function:</i> Governance	Page 3 of 5
	<i>Revised Date:</i> 00/00/00	<i>Section # &amp; Title:</i> 100 General Administration	
<b>Phoenix Business and Workforce Development Board</b> (approval authority)	<i>Date Approved:</i> 03/08/2018	<i>Subject # &amp; Title:</i> .109 Records Management and Retention Policy	

(programmatic, fiscal, equal opportunity, One-Stop Certification, Eligible Training Provider List (ETPL), etc.) must be retained for *a minimum of three years from the date of final report.*

5. Financial records, statistical records, accounts, reports, files, and supporting documents, \*agenda and minutes of open meetings, and all other records pertinent to WIOA Title IB funds or contract relating to the furnishing of goods, equipment, labor, materials, or services *must be retained for a minimum of three years from the submission of final financial expenditure report effective for Program Year (PY) 2018/Fiscal Year (FY) 2019 grant and onward. However, current Intergovernmental Agreements (IGAs)/Interagency Service Agreements (ISAs) that have a five-year retention period apply until PY17/FY18 grant closes.*
6. Records that are related to training providers that apply for or are listed on the ETPL *must be retained for a minimum of three years.* This includes applications, *Training Provider Credential Checklist*, performance reports, monitoring reports, and communication with training providers, including denial letters and emails.
7. Sign-in sheets and attendance rosters must be maintained for three years for workshops/classes if the facilitator is paid through Title IB funds or Title IB eligible customers are in attendance.
8. When records having one retention period cannot be separated from records having a longer retention period, records must be retained for the longer retention period.
9. \*Record retention schedules approved by ASLAPR shall take precedence per ARS Title 41 Article 2.1.

**B. RECORD RETENTION REQUIREMENTS:**

1. ARIZONA@WORK City of Phoenix and Providers may upload source documents as evidence of work performed and costs incurred into Arizona’s web-based labor exchange, case management, and reporting system – Arizona Job Connection instead of retaining hard copies, per local policy.
2. When a WIOA Title IB sub-recipient is unable to retain required WIOA Title IB participant and financial records, or the award for service is terminated by ARIZONA@WORK City of Phoenix, the records must be transferred to ARIZONA@WORK City of Phoenix or to a new service provider, as directed by ARIZONA@WORK City of Phoenix. Records must be transmitted within the period stated by ARIZONA@WORK City of Phoenix and must be properly labeled and filed in

	<i>Effective Date:</i> 03/09/2018	<i>Type:</i> X Policy <input type="checkbox"/> Procedure <i>Function:</i> Governance	Page 4 of 5
	<i>Revised Date:</i> 00/00/00	<i>Section # &amp; Title:</i> 100 General Administration	
<b>Phoenix Business and Workforce Development Board</b> (approval authority)	<i>Date Approved:</i> 03/08/2018	<i>Subject # &amp; Title:</i> .109 Records Management and Retention Policy	

accordance with City of Phoenix Administrative Regulation 1.61.

3. When hard copy files are maintained, ARIZONA@WORK City of Phoenix and service providers must ensure there is appropriate storage space that ensures security and confidentiality.
4. All documentation pertaining to medical information must be maintained separately from main program files to ensure confidentiality. Access to medical information should be limited to staff on a “need to know” basis, as defined in local policy.

C. RECORDS CENTER AND ARCHIVES (INACTIVE RECORDS):

City of Phoenix A.R. 1.61 states that the City Clerk shall maintain control of the Records Center and Archives. When records are no longer accessed on a regular basis or required for current use, they may be stored at the Records Center until their record retention periods have been met. Records stored at the Center remain the property of the city department sending the records and are readily accessible should they need to be retrieved. Once the retention periods are met, these records should be destroyed as authorized by the Records Retention Schedules approved by the State of Arizona Library and Public Records.

D. RECORDS CONTROL OFFICER:


Records Control Officers oversee the Records Management Program for each department/function and are essential to ensuring program success. Records Control Officers or designee(s) must approve record management forms and coordinate the transfer of records to the Records Center warehouse with City Clerk staff.

E. RECORDS ELIGIBLE FOR STORAGE:

Only “inactive” records, as indicated in the approved retention schedule, may be sent for off-site storage at the City Clerk Records Center. If a record does not fit into any of the records series listed in the record retention schedules, notify the Records Control Officer to conduct a records retention analysis. If a record is not listed in the retention schedules it does not mean it is not an official record. The record may need to be added to the official schedules.

F. STORING FILES AT THE RECORDS CENTER:

Files/records should be reviewed on a regular basis of, at a minimum, at least once a year. Records of little or no reference value not only take up valuable space, but make the retrieval of important records more difficult. Only those records referenced on a regular basis should be stored in the office. All other records should be stored in a lower-cost area. The City Clerk Records Center provides such

	<i>Effective Date:</i> 03/09/2018	<i>Type:</i> X Policy <input type="checkbox"/> Procedure <i>Function:</i> Governance	Page 5 of 5
	<i>Revised Date:</i> 00/00/00	<i>Section # &amp; Title:</i> 100 General Administration	
<b>Phoenix Business and Workforce Development Board</b> (approval authority)	<i>Date Approved:</i> 03/08/2018	<i>Subject # &amp; Title:</i> .109 Records Management and Retention Policy	

low-cost storage while providing access should the records be needed in the future. See archiving files procedure for preparing files for storage.

**VI. POLICY MANAGEMENT REQUIREMENTS**

Administrative revisions to all policies, other than Youth policies, shall be proposed by the PBWD Board’s Executive Director (Executive Director). The Executive Director shall provide notice to the PBWD Board’s Executive Leadership Committee prior to consideration by the PBWB Board. All other Substantive revisions will be proposed by the Executive Director and then will go to the PBWD Board’s Executive Leadership Committee for review and recommendation prior to the PBWD Board for approval.

**VI. ATTACHMENTS**

N/A