



## RECORDS RETENTION AND PUBLIC ACCESS POLICY

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**Policy Number:** 1150

**Effective Date:** September 1, 2017

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### **A. BACKGROUND**

In conformance with Washington State Policy Number 5403: Retention and Public Access, for Title 1-B of the Workforce Innovation and Opportunity Act (WIOA), Workforce Snohomish (WFS) has developed this policy for retention of and access to records.

### **B. POLICY**

Workforce Snohomish requires all subrecipients and contractors to retain and provide access to records of all fiscal and program activities funded under WIOA as outlined:

#### Records Retention

Each subrecipient and contractor shall:

- (1) Retain all financial, statistical, property and supporting documentation pertinent to its subcontract(s) for a period of at least three (3) years after submittal of the closeout report for the subcontract(s) to the WFS.
- (2) Retain all records of non-expendable property for a period of at least three (3) years after final disposition of the property.
- (3) Retain all program and data validation records pertinent to applicants, and participants for program services for a period of not less than three (3) years from the point that the record is no longer included in reportable outcomes (as opposed to the close of the applicant program year) Example: A participant exits in January 2015 and is still reported in the PY15 performance report for the period ending June 30, 2015. The record retention period is July 1, 2015 through June 30, 2018.
- (4) Retain all records of applicants for employment for a period of not less than three (3) years after conclusion of the relevant hiring process.

- (5) Retain all employee records for a period of not less than three (3) years after the employee leaves the employment of the subrecipient.
- (6) Retain all records beyond the three (3) year period if any litigation or audit has begun or after a claim is instituted involving the subcontract covered by the records. In such instances, the records shall be retained for an additional three (3) years after resolution of the litigation, audit, or claim.
- (7) Retain records regarding complaints and actions taken on complaints for at least three (3) years from the date of the resolution of the complaints.

In instances where an entity ceases to be a subrecipient of WFS, the records shall be retained by the One-Stop Operator or, in instances where the One-Stop Operator ceases to be a subrecipient, the records shall be transferred to the new One-Stop Operator. In instances where there is no One-Stop Operator (e.g., in-school youth programs) the records shall be transmitted to and retained by WFS or an entity designated by WFS as the ongoing provider of services.

#### Limitation of Public Access to Records

Personal records of WIOA registrants are private and confidential and will not be disclosed to the public. Personal information may be made available to WorkSource partners on a selective basis consistent with a given participant's signed Consent Form. In addition, this information is to be available to representatives of entities having responsibilities under WIOA including:

United States Department of Labor  
State of Washington  
Snohomish County  
Workforce Snohomish

Additional conditions affecting access include:

- (1) A given WIOA participant has access to all information pertaining to her/himself unless the record or information is exempt from disclosure.
- (2) The names of WFS staff and subrecipient staff in positions funded by WIOA, in part or in whole, are a matter of public record. Other information pertaining to these employees shall be made available to the public in the same manner and to the same extent as such information is made available for staff not funded by WIOA.

#### **C. DEFINITIONS:**

N/A

**References:**

- [Washington Workforce Policy 5403 Records Retention and Public Access](#)

**Supersedes:**

- Memorandum #05-19

**Attachments:**

N/A