



**Rivers East**  
WORKFORCE DEVELOPMENT BOARD  
[www.riverseastwdb.org](http://www.riverseastwdb.org)

## Rivers East Workforce Development Board

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### RIVERS EAST LA ISSUANCE 2021-11 CHANGE 1

**SUBJECT:** RIVERS EAST RECORDS AND RETENTION POLICY

**PURPOSE:** This Issuance replaces Region Q LA Issuance 4-04; Records Retention and Maintenance Policy. Rivers East will follow the Regional Councils Records Retention and Disposition Schedule and the Records Retention and Disposition Schedule for Local Government Agencies as approved by the Mid-East Commission Board on June 20, 2019.

**ACTION:** All WIOA service providers should review and adhere to the attached policy requirements in regards to Record Retention and Disposition.

Workforce Development is referenced on:  
Page 71, Regional Councils Policy  
Page 86, Local Government Policy

**EFFECTIVE DATE:** July 1, 2021

**REVISION DATE:** May 11, 2022

Jennie Bowen  
Workforce Development Director

Attachments

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Serving: Beaufort County • Bertie County • Hertford County • Martin County • Pitt County

Mid-East Commission • Workforce Development Department  
"Committed Equal Opportunity Employer/Programs"

**STANDARD-11. WORKFORCE DEVELOPMENT RECORDS**

Records concerning workforce development programs and services administered by regional councils.

<b>STANDARD-11. WORKFORCE DEVELOPMENT RECORDS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
1.	<b>CIRCULARS AND ISSUANCES FILE</b> Guidelines issued by the Division of Employment and Training regarding the administration of the Workforce Development Program.	Destroy in office when superseded or obsolete.	
2.	<b>FEDERAL WORKFORCE DEVELOPMENT ACT REGULATIONS</b> Record contains instructions from federal government regarding how program money is spent and parameters for eligibility.	Destroy in office when superseded or obsolete.	
3.	<b>JOB TRAINING INITIATIVES FILE</b> Records concerning job training programs and services administered by regional councils.	a) Destroy in office records concerning approved non-continuing grants 5 years after termination.* b) Destroy in office records concerning approved continuing grants 5 years after annual financial report is filed.* c) Destroy in office records concerning non-expendable property acquired with grant funds 5 years after its final disposition.* d) Destroy in office remaining records 5 years after completion of project, or 5 years from date record was created; whichever occurs last.*	
4.	<b>NON-EXPENDABLE PROPERTY FILE</b> File includes inventory in numerical sequence identifying date of purchase, acquisition cost, serial number, location of inventory, and contacting agency.	Destroy in office 5 years after final disposition of property or when released from all audits, claims, or other official action; whichever occurs last.*	

\*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page vii.

ITEM #	STANDARD-II: WORKFORCE DEVELOPMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	STATE JOB TRAINING PLAN FILE Records concerning the State Board's bid process for contacting workforce development programs.	Destroy in office when supersede or obsolete.	
6.	WORK STUDIES PROGRAMS FILE Provides internships to graduate students. File contains monthly reports, time sheets, grade reports, and fiscal records.	Destroy in office 5 years after internship ends or when released from all audits, claims, or other official action; whichever occurs last.*	
7.	WORKFORCE DEVELOPMENT ACT FILE Education and training for economically disadvantaged.	<ul style="list-style-type: none"> <li>a) Destroy in office records concerning approved non-continuing grants 5 years after termination.*</li> <li>b) Destroy in office records concerning approved continuing grants 5 years after annual financial report is filed.*</li> <li>c) Destroy in office records concerning non-expendable property acquired with grant funds 5 years after its final disposition.*</li> <li>d) Destroy in office remaining records 5 years after completion of project, or 5 years from date record was created; whichever occurs last.*</li> </ul>	
8.	WORKFORCE DEVELOPMENT ACT PARTICIPANT RECORDS Records documenting each participant in the Workforce Development Program, and their prior eligibility.	Destroy in office 5 years from date of last contact or when released from all audits, claims, or other official action; whichever occurs last.*	
9.	WORKFORCE DEVELOPMENT SUBGRANT AND RECIPIENTS/PARTICIPANTS COMPLAINTS AND ACTIONS FILE Records include participant and sub-grant recipients' or contractors' grievances, which are non-criminal.	Destroy in office 5 years from date of resolution or when released from all audits, claims, or other official action; whichever occurs last.*	

\*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page vii.

9: Workforce Development

**STANDARD 9: WORKFORCE DEVELOPMENT RECORDS**  
 Official records created and accumulated by the agency to manage workforce development programs. Relevant legislation includes the Comprehensive Employment and Training Act, the Job Training and Partnership Act, the Workforce Investment Act, and the Workforce Innovation and Opportunity Act.

STANDARD 9: WORKFORCE DEVELOPMENT RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.01	<b>AUDIT/AUDIT RESOLUTIONS</b> Records concerning reports from financial and compliance audits conducted on Workforce Investment Act programs in accordance with OMB Circular A-133. Includes audit reports and correspondence concerning audits and audit resolutions for the local area. Also includes federal and state audits.	Destroy in office after 3 years.	Authority: OMB Circular A-133 29 CFR 97.26
9.02	<b>LOCAL AREA JOB TRAINING PLAN RECORDS</b> Records concerning the local board's bid process for contracting workforce development programs.	Destroy in office when superseded or obsolete.	Authority: 20 CFR 652.8
9.03	<b>PARTICIPANT RECORDS</b> Records concerning applicants, registrants, eligible applicants/registrants, participants, trainees, and employees who submit requests for services of the Dislocated Workers Program and Workforce Investment Act programs. Includes applications, client history, Employment Development Plans, program referral, monitoring notes, pay authorizations, release forms, and Workforce Investment Act follow-up questionnaires.	Destroy in office 3 years after close of audit/final year expenditure.*	Authority: 20 CFR 652.8

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.  
 † The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.