

TRIDENT

Trident Workforce Investment Board Workforce Investment Act

RECORDS RETENTION POLICY AND PROCEDURES

TO: Trident Workforce Investment Area Contractors and Staff

ISSUANCE DATE: May 15, 2012

EFFECTIVE DATE: Immediately

SUPERSEDES: N/A

SUBJECT: Record Retention Policy and Procedures

PURPOSE: To provide information and guidance to the SC Works Trident Workforce Area regarding the Record Retention Policy and Procedures.

POLICY: All SC Works Trident Operators, staff and Youth Contractor will comply with the policy and procedures pertinent to record retention.

PROCEDURES:

Record Retention for Case Files of WIA Exiters: To ensure all required hard copy files of WIA participants are maintained for a time period sufficient to cover data validation and audits, the records must be maintained for five years. Please refer to the chart below for information regarding record retention.

Program Year	Exit Dates	Destruction Date
PY2005	April 1, 2005 – March 31, 2006	March 31, 2011
PY2006	April 1, 2006 – March 31, 2007	March 31, 2012
PY2007	April 1, 2007 – March 31, 2008	March 31, 2013
PY2008	April 1, 2008 – March 31, 2009	March 31, 2014
PY2009	April 1, 2009 – March 31, 2010	March 31, 2015

Handling of Case Files:

1. All WIA Adult, Dislocated Worker and Youth exited files and finished follow-up will be stored in the storage room at the SC Works Charleston location, room 106
2. Youth Files will be separate from Adult and Dislocated Worker files
3. Files will be filed in alphabetical order
4. Each WIA registrant will have only one hard copy file per Application Identification Number. If an exited individual reapply for WIA, a new WIA application number is created in SCWOS; therefore, this requires the creation of a new hard copy case file.

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Handling of Case Files – Never Enrolled:

1. Hard Copy case files of WIA applicants who completed an application, but were not enrolled within 90 days of eligibility determination date or were determined ineligible for WIA Intensive services will be maintained for three years past the Eligibility Date or the date determined ineligible for WIA services.
2. These files will be maintained in the storage room at SC Works Charleston Location in the storage room. For purposes of not using hard files, these files may be maintained in a box in alphabetical order. The box must be labeled with the retention time period.

Handling of Case Files with Partial WIA Application:

1. Hard copy files of individuals with partial WIA application will be maintained for three years past the application date.
2. These files will be maintained in the storage room at SC Works Charleston Location in the storage room. For purposes of not using hard files, these files may be maintained in a box in alphabetical order. The box must be labeled with the retention time period.



Ronald Mitchum, Executive Director
BCDCOG

May 15, 2012

Date