

### Purpose.

SWWDB, as a recipient of federal grant funding awarded by the Division of Workforce Solutions (DWS) of Wisconsin's Department of Workforce Development (DWD), is subject to strict administrative requirements including records management and retention standards. Consistent with other federally assisted programs, the requirements of applicable DWD/DWS regulations, Office of Management and Budget (OMB) circulars, and Department of Labor (DOL) administrative requirements, This policy establishes SWWDB's responsibility to maintain and retain all records pertinent to WIA and other grants.

### Policy.

SWWDB shall prepare and maintain such records as required by federal and state laws. These include but are not limited to financial, employee, statistical, property, and participant records and all supporting documents. All records shall be maintained in a form and manner that is accurate, legible and consistent with the principles of proper accounting and financial management practices, established professional standards, and applicable federal and state laws, rules and regulations.

SWWDB agrees to afford access and make available, to duly authorized representatives of DWD/DWS, DOL, or other cognizant state and/or federal oversight agency, records to determine the extent to which program services meet the requirements of the applicable legislation and assure that funds are being expended in accordance with the purposes and provisions of grant agreements. SWWDB shall make staff available to assist and cooperate in any monitoring, audit and/or inspection activities.

SWWDB shall make available to the public all records pertaining to its grants and contracts in accordance with the provisions of the Wisconsin Open Records Statute (ss.19.31 – 19.39, stats.) and the federal Freedom of Information Act (5USC s.552). All records shall be protected against unauthorized use as required by federal and state law. SWWDB shall not disclose the social security number, home address, ~~or~~ home telephone number **or date of birth** of any program participant.

SWWDB shall preserve and safeguard all records pertinent to grants and agreements funded by DWD/DWS against loss or destruction. All records shall be retained for a period ~~not less than three (3) years from the ending date of the grant, unless the records are related to matters that are the subject to litigation, audit findings, or claims that are unresolved. In these instances, the records shall be retained until the matter has been adjudicated or properly resolved.~~ **as required in The Division of Employment and Training Workforce Investment Act (WIA) Program Guide.**

SWWDB designates the Executive Director as custodian of records. The custodian of records shall be responsible for overseeing the preparation, maintenance and safeguarding of all records while allowing appropriate access and ensuring timely disposal subject to the provisions of applicable federal and state laws, rules, and regulations.

References: **DWD/DET, Workforce Programs Guide, PART 1 – Administration of Workforce Programs Policy and Procedures Manual, Section III.B – Financial Management Standards**

Policy Adopted: June 8, 2005

Policy Revised: