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1. Purpose

To identify the record retention and public disclosure requirements and responsibilities of staff, volunteers, board members, and contractors for maintaining and documenting the storage and destruction of the organization's documents and records.

2. Policy

A. Records Retention

As the Administrative Entity and Fiscal Agent for the Pacific Mountain Workforce Area, PacMtn and its subrecipients of WIOA funds shall abide by the Code of Federal Regulations (CFR), WIOA Title I, Office of Management and Budget (OMB) Circulars, state regulations in laws and rules (Washington Administrative Code and Revised Code of Washington), Office of Financial Management and state WIOA policies for the management and retention of records.

Records pertaining to other awards, grants or general program files will be retained for a period of six (6) years following the date of final payment.

Paper records are stored at an offsite location and are maintained by a third party to securely store, file, track, and destroy records on a prescribed records retention schedule provided by the Washington State Archives. PacMtn records all file transfers and logs contents of each file box that is sent for retention and archiving. The vendor maintaining the records sends notifications when files are due for destruction. An authorized PacMtn representative must approve of all file disposition prior to processing by signing an authorization form. Once received the vendor processes according to instruction. Files are destroyed through an on-site shredding service with certification of destruction maintained.

B. Public Access

The public may request access to records pertinent to a federal award, except for protected personally identifiable information (PII) or when the Federal awarding agency can demonstrate that such records will be kept confidential and would have been exempted from disclosure pursuant to the Freedom of Information Act.

Personal records of WIOA registrants will be private and confidential, and will not be disclosed to the public. Personal information may be made available to WorkSource partners or service providers on a selective basis consistent with the registrant's signed "Release of Information" form.

3. Guidelines

A. WIOA Records Retention

- i. Retain all records pertinent to grants, grant agreements, interagency agreements, contracts or any other awards, including financial, statistical, property, and supporting documentation, for a period of at least three (3) years after submittal of the final expenditure report (closeout) for that funding period to the awarding agency.
- ii. Retain all records of non-expendable property for a period of at least three (3) years after final disposition of property.
- iii. Retain all program and data validation records pertinent to applicants, registrants, eligible applicants/registrants, participants, terminees, employees, and applicants for employment for a period of not less than six (6) years after the end of the fiscal year.
- iv. Retain records regarding complaints and actions taken on the complaints for a period of not less than 3 years from the date of resolution of the complaint.
- v. After the files have been retained for the appropriate period cited Section 3.A i-iv, refer to your organization's guidelines for destroying confidential information.
- vi. Retain all records beyond the required six (6) years if any litigation or audit is under way or a claim is instituted involving the grant or agreement covered by the records. The records must be retained for at least six (6) years after the litigation, audit, or claim has been resolved.

In the event of the termination of the relationship between the state and a PacMtn fiscal agent or other WIOA subrecipients, the fiscal agent or subrecipients will be responsible for the maintenance and retention of their own records as well as the records of any subrecipients unable to maintain and retain its own records. The state, however, will be responsible for the maintenance and retention of the records of the fiscal agent or subrecipients unable to maintain and retain its own records or those of its subrecipients.

Copies of records made by microfilming, photocopying, or similar methods may be substituted for the original records if they are preserved with integrity and are admissible as evidence.

All records retained beyond the mandatory retention period are subject to audit and/or review.

Limitation of Public Access to Records

Personal records of WIOA registrants will be private and confidential, and will not be disclosed to the public. Personal information may be made available to WorkSource partners or service providers on a selective basis consistent with the registrant's signed "Release of Information" form. In addition, this information may be made available to persons or entities having responsibilities under WIOA including representatives of:

- a. The Department of Labor

- b. The Governor
- c. WIOA Grant Recipients
- d. Local Area Subrecipients
- e. Appropriate governmental authorities involved in the administration of WIOA to the extent necessary for its proper administration

The conditions under which information may be released or withheld are shown below:

- a. WIOA registrants will have access to all information concerning themselves as individuals unless the records or information is exempted from disclosure.
- b. For additional information on obtaining public records, refer to the following website for Public Records Brochures: <https://www.atg.wa.gov/opengovernment.aspx>

The names of PacMtn staff and subrecipient's staff in positions funded by WIOA, in part or in whole, will be a matter of public record. Other information pertaining to these recipient or subrecipients employees will be made available to the public in the same manner and to the same extent, as such; information is made available on staff in positions not funded by WIOA. Public agencies responsible for financial and/or program activities under WIOA will have public records systems in accordance with RCW 42.56.040. Nongovernmental agencies with such responsibilities will have public records systems which comply with the spirit and intent of RCW 42.56.040.

Duplication fees may be imposed to cover the cost of producing copies for public requests for documents up to the amount necessary to cover the fee per page that PacMtn incurs.

Attachment I - Request for Public Records – Fee Schedule
Attachment II - Request for Public Records – Form

References

Public Law 113 – 128, Workforce Innovation and Opportunity Act of 2014, Section 185(a)
2 CFR 200.333-337 – Record Retention and Access
29 CFR 37.37 - What are a recipient's responsibilities to collect and maintain data and other information?
29 CFR 97.42 - Retention and access requirements for records
RCW 42.56 – Public records act
RCW 40.14 – Preservation and destruction of public records
ESD Records Retention Schedule, Version 1 (August 2020)
Telford v. Thurston County Board of Commissioners
ESD Policy 5403, Revision 1: Records Retention Policy

DATE APPROVED: March 10, 2017, 2/14/2020

Direct Inquiries to:
Pacific Mountain Workforce Development
201 5th Ave. STE. 401 Olympia, WA 98501
Telephone: (360) 704-3568
Email: info@pacmtn.org

PacMtn is an equal opportunity employer/program. Auxiliary aids and services are available upon request to individuals with disabilities. WA Relay 711

Attachment 1



REQUEST FOR PUBLIC RECORDS – FEE SCHEDULE

The PacMtn fee schedule is developed to cover some the costs associated with public records requests. PacMtn recognizes that significant time and materials may be necessary in order to process requests. The fee schedule may change depending on actual cost at the time of request. Fees will only be charged to offset actual costs. These are guidelines in order to help you identify the cost you are responsible for.

Copy/Scan/Paper Charges

The current copy charge for black and white prints is \$.009 per page. Costs will be charged after 250 pages. Two sided documents are charged as two prints. Rates are subject to change depending on the vendors charge of such copies. Charges will be based on actual cost at time of printing.

The current copy charge for color prints are \$.0544 per page. Costs will be charged after 100 prints. Two sided documents are charged as two prints.

Paper charges will be incurred once copy charges are in effect at a rate of \$.01 per page. If any specialty paper is requested, charges will be calculated on actual costs.

Scanned documents are charged at the same rate as paper copies.

Electronic Media

Electronic media storage devices will be charged at the actual charge for the device. Storage devices will be chosen dependent upon the file size requirements.

Examples of storage device costs:

- 16GB Thumb Drive - \$10
- 32GB Thumb Drive - \$15
- 64GB Thumb Drive - \$20
- 128GB Thumb Drive - \$25

For security purposes we do not allow outside storage devices to be used.

If documents must be scanned into electronic format first, scan charges will apply as noted above.

Mailing/Postage

Costs for mailing requested materials either through paper copies or media storage will be charged at actual costs plus incurred mileage if applicable to get the package to a delivery site. Cost of packaging materials will also be charged at actual costs.

Customized Service Charges

If requests are made for dissemination of electronic files through services or devices outside of PacMtn normal operations, costs for related IT staff time and materials will be charged to facilitate the data exchange. The requestor will be notified if the request needs elevation to this level and may amend the request to alleviate these charges.

Agency Charges

If any request consumes a dedicated staff member to process and send a records request, charges will apply after 1 hour of such dedicated time. Charges will typically start at \$20 per hour, with only actual costs charged.

Other Considerations

For cost considerations, if a person makes multiple small requests within a 10 day period, those requests will be combined to calculate the total costs they are responsible for.

If the request for information contains documentation that PacMtn does not keep directly and must go to an outside source or contractor to obtain, their public records request fee schedule may also be applied to the request.

DATE APPROVED: 6/2018,1/12/2021

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Attachment II



PACIFIC MOUNTAIN
WORKFORCE
DEVELOPMENT

building community prosperity

REQUEST FOR PUBLIC RECORDS FORM

NAME _____ **DATE** _____

COMPANY/AGENCY NAME _____

E-MAIL _____ **PHONE NUMBER** _____

ADDRESS _____

Please be as specific as possible when requesting records. When possible, please provide timeline (date/year to date/year); program(s); clearly spelled names of parties involved. Providing specific information will allow us to process your request more efficiently.

Description of Records:	
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Please provide this information by: Inspection Hard copy Electronic Media
 Other _____

Purpose for which information is requested:	
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I agree to pay for all copy fees according to PacMtn's fee schedule. By submitting this form you agree any records requesting lists of individuals will **NOT** be used for commercial purposes.

Signature (not required if emailing this request)

Date

Thank you for allowing us to assist you with your records request.

SEND TO:

E-mail: Info@pacmtn.org

Pacific Mountain Workforce Development
201 5th Ave. SW STE. 401
Olympia, WA 98501

TO BE COMPLETED BY PACMTN

No identifiable record can be located.

The record you requested is exempt from disclosure by law.

Additional time is necessary to process your request. RCW 42.56.520

Portions of the record(s) are exempt from disclosure and have been redacted.

Records processed by _____ Date _____

Record(s) have been mailed and \$ _____ amount has been billed.

The amount of \$ _____ for _____ copies was paid upon receipt.

The records(s) was picked up in person:

Signature: _____ Date: _____

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