


Date: July 1, 2008

To: Pacific Gateway Workforce Investment Network Staff
WIN Sub-Recipients

From: Bryan S. Rogers 
WIB Executive Director

Subject: **POLICY MEMORANDUM: WDB-10
RECORDS RETENTION**

EFFECTIVE DATE

This policy is effective upon date of issue. It supersedes previous policy dated September 18, 2001.

PURPOSE

The purpose of this policy is to provide a process that ensures an accurate, timely, and confidential system to safeguard and maintain records and files.

POLICIES AND PROCEDURES

1. The Pacific Gateway Workforce Investment Network (PGWIN) will internally retain all its records/files for a period of three (3) years in accordance with 29 CFR 97.42. Following a period of three years, the City of Long Beach Records Center shall maintain all records for an additional two (2) years of archiving with the exception of Fiscal Records, which will be maintained by the City's Records Center for an additional seven (7) years. Request to access files that have been internally archived must be submitted to the Management Information Systems (MIS) Coordinator at least two (2) weeks prior to the date the files are needed.
2. All records/files storage, transfer, and destruction shall be coordinated through the MIS Coordinator. The attached Records Retention Request Form (Attachment A) and/or Records Destruction Request Form (Attachment B) must be submitted before any fiscal, program, and non-program records/files can be stored, moved, or destroyed. Failure to complete the respective form or follow the procedures herein will result in a delay in accessing these files.
3. For programs that require follow-up services, records will be boxed, labeled, and submitted to the MIS Coordinator at the completion of post-program follow-up services, unless otherwise directed. Other fiscal, program, and non-program records, where follow-up is not required, will be boxed,



labeled, and submitted to the MIS Coordinator within one-year from the end of the program. The MIS Coordinator will be responsible for tracking and ensuring all records/files are maintained for a period of three (3) years.

4. Following three (3) years from the end date of services listed on the record/file, the MIS Coordinator will be responsible for transferring program records/files to the City of Long Beach Records Center. Should changes occur to the records/files in terms of storage, transfer, or destruction, the MIS Coordinator will provide a memorandum documenting the change to applicable staff.
5. Record Transfer Request to City Records Center.
(MIS Coordinator Only)
 - a. Fill out Records Transfer Request Form (Attachment C) which may be downloaded from the City Intranet under Forms/Word Templates).
 - b. Record Title and Ret Sch. No. may be obtained from the Record Retention Schedule. If there is no record retention schedule for a particular item call Records Manager/City Clerk at ext. 86136.
 - c. Email Merianne_Nakagawa@longbeach.gov the completed transfer request.
 - d. Call Records Manager/City Clerk at ext. 8-6600 to confirm that the request was received and to arrange for the boxes to be sent to the applicable records center. Conservation Corp, Merianne Nakagawa, or another entity may facilitate the pick-up and drop-off of boxes. Coordinate with Merianne Nakagawa when the boxes will be sent over.
6. Access to local storage (Career Transition Center) and off-site (Olive Storage) facilities shall be requested through the MIS Coordinator who will be responsible for tracking such requests.

Sub-recipients

7. All agreements shall contain language that the subcontractor or vendor "agrees to maintain records (including books, papers and computer data, time sheets, attendance and payroll records, and canceled checks) to document all costs, direct and indirect, incurred under all agreements to ensure records are retained for a period of seven (7) years from the date final payment is made on each training agreement. All records regarding the Trainee shall be made available to a representative of the PGWIN, and applicable State and Federal agencies/representatives. The right to access the records includes the right to make excerpts, transcripts, and photocopies. The right also includes the reasonable and timely access to

personnel for the purpose of interviews and discussions related to the records of the Trainee.”

Participant Files

All participant files must be transferred to PGWIN at the conclusion of the 4th quarter follow-up after exit date unless requested earlier by PGWIN staff.

8. The Operations Division shall be the final authority on the processing of storage, transfer, and destruction of files.

Program supervisors requesting record/file storage, transfer, or destruction are responsible for ensuring these regulations are followed. Any questions pertaining to these regulations can be addressed with the MIS Coordinator.

REFERENCES

29 CFR Part 97.42

CONTACT

Should you have any questions regarding this Policy Memorandum, please contact Dawn Swann at (562) 570-3736; TTY (562) 570-4629.

Thank you.

Attachments

BSR:mh

ATTACHMENT A



Pacific Gateway Workforce Investment Network

RECORDS RETENTION REQUEST

Number (MIS Only)

Page

Instructions: Please submit one form per unit to PGWIN Operations Secretary

Records Retention Request By: Staff Name:	Program and Unit Name:	Date Requested
		Phone

Unit Box No. (MIS Only)	Records Title (Same as Retention Schedule)	Years Covered by Records	Ret Sch No. (MIS Only)	Year to Destroy (PSU Only)	Please Indicate: Storage Transfer -or- Destruction	Approved Location (Operations Secretary Only)

Distribution: White Copy - Fiscal Canary Copy – Operations Secretary Pink Copy – Unit Supervisor

Program Supervisor Signature:		Operations Secretary Signature:	
Title	Date	Fiscal Coordinator Signature:	

ATTACHMENT B

RECORDS DESTRUCTION REQUEST

1. Date _____

Honorable Council of the City of Long Beach

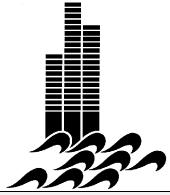
2. The _____ respectfully requests authority to destroy the following
DEPARTMENT
 departmental records:

3. RETENTION SCHEDULE ITEM NO.	4. RECORDS TITLE AND DESCRIPTION	5. YEARS INVOLVED	6. BOX NO. ON-SITE	7. BOX NO. OFF-SITE

FOR DEPARTMENTAL USE 8. RECOMMENDED:	CITY ATTORNEY'S CONSENT Consent is hereby given to destroy the records enumerated above.	14. REMARKS:
<small>RECORDS MANAGER</small> 9. APPROVED:	<small>CITY ATTORNEY</small> 11. By _____ 12. Title _____	
<small>DEPARTMENT HEAD</small> 10. DATE:	13. Date _____	

RECORDS DESTRUCTION REQUEST
(Continuation Sheet)

3. RETENTION SCHEDULE ITEM NO.	4. RECORDS TITLE AND DESCRIPTION	5. YEARS INVOLVED	6. BOX NO. ON-SITE	7. BOX NO. OFF-SITE



CITY OF LONG BEACH
RECORDS TRANSFER REQUEST

Number
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Instructions: Submit an original and one copy of this form to City Records Center

From (Department/Division/Section)	Records Transferred By-Title	Date
		Phone

Dept Box No.	Records Title (Same as Retention Schedule)	Years Covered By Records	Ret Sch No.	Year To Destroy	Records Center Box No.	Records Center box Location No.

Records Center Use Only

Received By:	Remarks:
Title	Date