

SOP 08-09
Record Retention
Standard Operating Procedures
Grow Southwest Indiana Region 11
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Purpose

To establish guidelines for record retention for Grow Southwest Indiana Regional Workforce and WorkOne Southwest.

Content

Data Validation and Program Monitoring Files -

Each customer who receives intensive or training level services at one of the WorkOne offices in Region 11 must complete a full registration form via the state's electronic service management system. These applications must be complete with signature and supporting documentation. Under integration, it will be the responsibility of each county office to store these applications for purposes of data validation and program monitoring review by the Regional Operator and the State of Indiana's oversight division.

Each office will be responsible for creating a process to store and maintain each confidential document. The site coordinator will be responsible for retrieving the files for data validation and program monitoring. The Regional Operator will safeguard the files while data validation and/or program monitoring is being conducted and will be responsible for returning each file back to the county of origin.

Other Records –

Financial records including procurements, contracts, audit records, and equipment records, as well as general records such as board reports, minutes, and personnel records will be stored and maintained in the appropriate location, i.e., the RWB, the Regional Operator or service provider.

The RWB, Regional Operator, and service provider will be responsible for retrieving the respective records for auditing and monitoring purposes.

Length of Maintenance

Files and records will be warehoused for a minimum of 3 years after the date of submission of the final expenditure report, final program monitoring, or data validation

review, whichever occurs latest. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the 3 year period, whichever is later. After the 3 year time period, the files will be shredded by the WorkOne Site Coordinator or a qualified vendor who will attest to the destruction of the confidential information. Under no circumstances will the customer's application or other documentation be put in a general waste receptacle for pick up.

Transfer Responsibility

In the event a service provider contract is terminated, it will be the responsibility of the terminated service provider in possession of the files to transfer possession of the files to the Regional Operator and/or the succeeding service provider. This transfer must be completed within the first 30 days of the termination of the contract.

In the event a Regional Operator contract is terminated, it will be the responsibility of the terminated Regional Operator in possession of the records to transfer possession of the files to the succeeding Regional Operator. This transfer must be completed within the first 30 days of the termination of the contract.