DLT6 Workforce Development

DLT6.1 State Workforce Investment Office Records

The State Workforce Investment Office bears responsibility for fiscal and programmatic monitoring of the Workforce Investment Act (passed by the105th United States Congress in 1998). The office oversees policy and compliance issuances for the act (passed by the105th United States Congress in 1998) and maintains customer records for statewide programs funded through this legislation as per 29 CFR 97.42 and 29 CFR 95.53. The records may include, but are not limited to, customer folders for these programs, financial monitoring reports, and program monitoring reports. The customers' folders may include, but are not limited to, application forms, copies of eligibility documentation, vocational assessment plans, wage records data, employment information, driver's license information, and personal data. The financial and program monitoring is accomplished in conformity with United States Department of Labor policy issuances. The State Workforce Investment Office submits quarterly reports noting levels of participation and program accomplishments (as compared to performance standards and expenditures). The Office also submits annual reports that address the programs, strategies, and accomplishments under the Workforce Investment Act. The annual reports also include table sections with the Workforce Investment Act Financial Statement for all sources of funding, performance outcome information (at state and local levels), and costs of program activities.

a) Quarterly reports

Retention: Retain three (3) years after the date on which the final expenditure report charged to a program year's allotment is submitted or until all audit and litigation issues are resolved, whichever is later as per 29 CFR 97.42 and 29 CFR 95.53.

b) Annual reports

Retention: Permanent.

c) All other records

Retention: Retain three (3) years after the date on which the final expenditure report charged to a program year's allotment is submitted or until all audit and litigation issues are resolved, whichever is later as per 29 CFR 97.42 and 29 CFR 95.53.

DLT6.2 Trade Adjustment Assistance Records

Trade Adjustment Assistance (TAA) is available to workers who lose their jobs or whose hours of work and wages are reduced as a result of increased imports. Under the Federal Trade Act of 1974, workers whose employment is adversely affected by increased imports may apply for TAA, which includes a variety of benefits and reemployment services to help unemployed workers prepare for and obtain suitable employment. Such employees may be eligible for training, allowances for job searches, allowances for relocation, and additional weeks of unemployment benefits after the exhaustion of regular benefits. Within Rhode Island, the Department of Labor and Training administers this program. The files may include, but are not limited to, customer folders, Trade Adjustment Participant reports,

Trade Adjustment Assistance contracts, and Employment & Training Administration (ETA-563) quarterly activity reports. The last reports mentioned are reports of the allocation of funds and performance measurement. The customers' folders may include, but are not limited to, eligibility determination forms, copies of personal identification, assessment/test results, cases management records (including comprehensive plans of Individual Service Strategy), case notes, TAPR forms (which record the services received) wage record printouts, and return to work documents. The ETA reports may include, but are not limited to, application forms, copies of eligibility documentation (social security cards, driver's licenses, birth certificates, and other forms of identification), Comprehensive Assessment plans, wage record data, and return-to-work information.

Retention: Retain three (3) years after the date on which the final expenditure report charged to a program year's allotment is submitted or until all audit and litigation issues are resolved, whichever is later as per 29 CFR 97.42 and 29 CFR 95.53.

DLT6.3 Workforce Partnership of Greater Rhode Island Records

The Workforce Partnership of Greater Rhode Island's (WPGRI) mission is to assist in meeting the human resource needs of Rhode Island employers and to help ensure a well-trained, self-sufficient and adaptable workforce. In fulfilling this mission, the Partnership collaborates with business, labor, education leaders and community-based organizations. The services provided include technical assistance, training opportunities for customers, and acting as a source of information for employers and job seekers. The Partnership also brokers employment and training programs for businesses and workers to access public funding and community support for business and career development. Since the implementation of the Federal Workforce Investment Act (WIA) in 2000, the Partnership has included a Youth Council to assess the needs of younger people as they prepare to enter the workforce. The Partnership retains several permanent committees and subcommittees and also creates ad hoc committees to meet special needs or to handle specific grants. WPGRI assumed responsibility for the records of the Regional Employment & Training Board which performed many of the same functions but ceased to exist in 2003. Among the programs overseen by WPGRI in the past grew out of the Job Training Partnership Act, the School to Career Program, and the Welfare to Work program. Similar programs continue to operate under WPGRI. The records in this series may include, but are not limited to, participant files (including individual case files), financial records (audits and invoices for vendors), monitoring reports (reports detailing how programs are conducted and whether or not they are in compliance with the law), contracts with training providers, contracts with employers, data validation files, contracts with vendors, application files, minutes, and copies of training materials distributed to participants.

a) Minutes

Retention: Permanent.

b) Monitoring reports

Retention: Permanent.

c) All other records

Retention: Retain four (4) years after the date on which the final expenditure report charged to a program year's allotment is submitted or until all audit and litigation issues are resolved, whichever is later as per 29 CFR 97.42 and 29 CFR 95.53.

DLT6.4 Work Opportunity and Welfare to Work Tax Credit Program Records

Employers in Rhode Island may apply for tax credits for providing opportunities for people who seek employment through the Work Opportunity and Welfare to Work programs. The files concerning this may include, but are not limited to, state and Federal forms applying for these benefits and any supporting documentation. Supporting documentation may include, but is not limited to, verifications of service from the Department of Human Services, and other agency verification forms such as Social Security statements, vocational rehabilitation records, and records of former felons.

Retention: Retain four (4) years from the date of certification, or from the date of issuance of the determinations which do not result in certification, or until all audit and litigation issues are resolved, whichever is later as per ETA Handbook No. 408, November 2002.
(Amended March 2010.)

DLT6.5 Labor Exchange Records

The state of Rhode Island maintains a One-Stop Career Center System, which is a partnership of professional labor, training, and education organizations. The centers (known as networkRI centers) are located conveniently throughout the state and jobseekers and employers are matched there through employment programs and services. The centers are funded through U.S. Department of Labor programs as per the Wagner-Peyser Act and CFR 652.8(5)(i)(ii). Jobseekers fill out applications to begin receiving employment and training services funded by these programs. Jobseeker and employer records are assessed by staff to provide case management services, assess customer needs, match jobseekers to appropriate jobs, and enroll customers in appropriate programs. Data from these records is used to ensure compliance with Federal quarterly and annual reporting mandates for the Wagner-Peyser Program. These reports are submitted to the United States Department of Labor and are issued quarterly and annually. Records in this series may include, but are not limited to, application forms, work search histories, resumes, educational histories, and information on services requested by customers.

a) Quarterly reports

Retention: Retain three (3) years after the date on which the final expenditure report charged to a program year's allotment is submitted or until all audit and litigation issues are resolved, whichever is later as per 29 CFR 97.42 and 29 CFR 95.53.

b) Annual reports

Retention: Permanent.

c) All other records

Retention: Retain three (3) years after the date on which the final expenditure report charged to a program year's allotment is submitted or until all audit and litigation issues are resolved, whichever is later as per 29 CFR 97.42 and 29 CFR 95.53.

DLT6.6 National Emergency Grant Participant Files

National Emergency Grants are made available to the states by the federal government to help in responding to major dislocation events that leave large numbers of employees out of work through no fault of their own. These events range from large-scale plant closures to natural disasters. In Rhode Island, the Department of Labor and Training administers these grants through the Workforce Development Unit as per regulations imposed by the Workforce Investment Act of 1998. The unit maintains records of displaced workers participating in these grant programs. The records may include, but are not limited to, application forms, copies of eligibility documentation (social security cards, driver's licenses, and birth certificates), Comprehensive Assessment plans, wage record data, and return-to-work information. The unit also submits quarterly reports to the Federal government concerning these grants.

a) Quarterly reports

Retention: Retain three (3) years after the date on which the final expenditure report charged to a program year's allotment is submitted or until all audit and litigation issues are resolved, whichever is later as per 29 CFR 97.42 and 29 CFR 95.53.

b) Annual reports (Workforce Investment Act Standardized Record Data)

Retention: Permanent.

c) All other records

Retention: Retain three (3) years after the date on which the final expenditure report charged to a program year's allotment is submitted or until all audit and litigation issues are resolved, whichever is later as per 29 CFR 97.42 and 29 CFR 95.53.

DLT6.7 Certificates of Records Destruction

Certification of Records Destructions forms (PRA 003) signed by the authorized agency official and submitted to, and signed by, the State Archivist/Public Records Administrator. Certificates authorize the disposal of records listed in this and other applicable records retention schedules. RIGL §38-1-10, §38-3-6(j), and §43-8.1.10

Retention: Permanent.