

RETENTION OF RECORDS

Supplement to Technical Advisory # 16-2

Workforce Investment Act / Workforce Innovations and Opportunity Act			
Program Year	Program Year Closeout Date ¹	Record Retention Date ²	Comments
2010 (WIA)	04/23/14	04/24/17	Final expenditure report for PY 2010 was due 90 days after 06/30/13 or 09/30/13. Since the final expenditure report was not submitted to USDOL until 04/23/14 the 3-year Record Retention Period ends on 04/24/17 (since 04/23/17 falls on a Sunday).
2011 (WIA)	10/08/14	10/10/17	Final expenditure report for PY 2011 was due 90 days after 06/30/14 or 09/30/14. Since the final expenditure report was not submitted to USDOL until 10/08/14 the 3-year Record Retention Period ends on 10/10/17 (since 10/08/17 is a Sunday and 10/09/17 is Columbus Day).
2012 (WIA)	09/28/15	09/28/18	Final expenditure report for PY 2012 was due 90 days after 06/30/15 or 09/30/15. The final expenditure report was submitted early to USDOL on 09/28/15; therefore, the 3-year Record Retention Period ends on 09/28/18 .
2013 (WIA)	09/28/16	06/03/19	Final expenditure report for PY 2013 is due 90 days after 06/30/16 or 09/30/16. The final expenditure report was submitted early to USDOL on 09/28/16; therefore, the 3-year Record Retention Period ends on 09/30/19 (since 09/28/19 falls on a Saturday).
2014 (WIA)	TBD	TBD	Final expenditure report for PY 2014 is due 90 days after 06/30/17 or 10/02/17 (since 09/30/17 falls on a Saturday).
2015 (WIOA)	TBD	TBD	Final expenditure report for PY 2015 is due 90 days after 06/30/18 or 10/01/18 (since 09/30/18 falls on a Sunday).
2016 (WIOA)	TBD	TBD	Final expenditure report for PY 2016 is due 90 days after 06/30/19 or 09/30/19.

1 "Program Year Closeout Dates" provided above represent the actual date the final WIA/WIOA expenditure report was submitted by the NYS Department of Labor to the U.S. Department of Labor.

2 "Record Retention Dates" provided above represent a period of three (3) years from the "Program Year Closeout Date".

Trade Adjustment Assistance (TAA)			
Federal Fiscal Year	Federal Year Closeout Date³	Record Retention Date⁴	Comments
2010	03/08/13	03/08/16	Final expenditure report for FY 2010 was due 90 days after 09/30/12 or 12/31/12. Since the final expenditure report was not submitted to USDOL until 03/08/13 the 3-year Record Retention Period ends on 03/08/16 .
2011	06/04/15	06/04/18	Final expenditure report for FY 2011 was due 90 days after 09/30/13 or 12/31/13. Since the final expenditure report was not submitted to USDOL until 06/04/15 the 3-year Record Retention Period ends on 06/04/18 .
2012	02/13/15	02/13/18	Final expenditure report for FY 2012 was due 90 days after 09/30/14 or 12/31/14. Since the final expenditure report was not submitted to USDOL until 02/13/15 the 3-year Record Retention Period ends on 02/13/18 .
2013	6/03/16	6/03/19	Final expenditure report for FY 2013 was due 90 days after 09/30/15 or 12/31/15. Since the final expenditure report was not submitted to USDOL until 06/03/16 the 3-year Record Retention Period ends on 06/03/19 .
2014	TBD	TBD	Final expenditure report for FY 2014 is due 90 days after 09/30/16 or 12/31/16.
2015	TBD	TBD	Final expenditure report for FY 2015 is due 90 days after 09/30/17 or 12/31/17.
2016	TBD	TBD	Final expenditure report for FY 2016 is due 90 days after 09/30/18 or 12/31/18.

3 "Federal Year Closeout Dates" provided above represent the actual date the final TAA expenditure report was submitted by the NYS Department of Labor to the U.S. Department of Labor.

4 "Record Retention Dates" provided above represent a period of three (3) years from the "Federal Year Closeout Date".

IMPORTANT:

The tables above have been prepared for WIA/WIOA, and TAA funds only. It is understood that Local Workforce Development Areas may operate other programs with federal funds that are passed through from NYSDOL and must apply the 3 year Record Retention policy accordingly. Please contact your local FOTA Representative with questions regarding the 3-year retention period applicable to all other federally funded programs not shown above.