

Retention and Classification Report

Agency: Department of Workforce Services. Unemployment Insurance Section (1458)

140 East 300 South
Salt Lake City, UT 84111
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Records Officer: _____

14236	*Audit reports
84111	*Fraud decision files
84113	*Prosecution files
84112	Unemployment eligibility decision/overpayment case files
07565	*Unemployment insurance backup microfilm

AGENCY: Department of Workforce Services. Unemployment Insurance Division

SERIES: 14236

3

TITLE: Audit reports

DATES: 1989-2019.

ARRANGEMENT: Alphabetical by audit subject.

DESCRIPTION:

These are records of internal audits conducted by the agency to keep management informed concerning agency assets.

RETENTION:

Permanent. Retain for 7 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Audit records, GRS-1727.

AUTHORIZED: 10-23-2019

FORMAT MANAGEMENT:

Paper: Retain in Office until audit complete and then transfer to State Records Center. Retain in State Records Center for 7 years and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, fiscal, and/or historical value(s). Audit reports may be used during the next audit cycle to monitor compliance with internal control program recommendations. They document agency functions and have research value.

PRIMARY DESIGNATION:

Protected

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2020.

AGENCY: Department of Workforce Services. Unemployment Insurance Division

SERIES: 84111

1

TITLE: Fraud decision files

DATES: 1989-2025.

ARRANGEMENT: alphabetical by client surname

DESCRIPTION:

These are records of decisions determining if Section 35A-4-104 of the Employment Security Act has been violated and if so, to assess the overpayment required by law. They include form 617, Rebuttal Letter; form 613, Employer Reports; and the written decision. Depending on the type of claim involved, a file may also contain form 680G, School Report; and any other forms or correspondence pertaining to an individual's claim. After 3 months, the file is imaged.

RETENTION:

Retain for 8 year(s) or until administrative value met, whichever is greater

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is proposed and has not yet been approved.

FORMAT MANAGEMENT:

Paper: For records prior to and including 2025. Retain in Office for 3 months or until scanned and then destroy.

Computer data files: Retain in Office for 8 years or until administrative value met, whichever is greater and then delete.

APPRAISAL:

These records have administrative, fiscal, and/or legal value(s). Retention is based on administrative need, i.e., the paper copy is maintained two months before microfilming in case an appeal is filed, and the original is still needed.

AGENCY: Department of Workforce Services. Unemployment Insurance Division

SERIES: 84111

TITLE: Fraud decision files

(continued)

PRIMARY DESIGNATION:

Private

AGENCY: Department of Workforce Services. Unemployment Insurance Division

SERIES: 84113

1

TITLE: Prosecution files

DATES: 1980-2025.

ARRANGEMENT: numeric by social security number

DESCRIPTION:

This record documents the investigation and prosecution of fraudulent violations of Section 35A-4-104 of the Employment Security Act. The decision to prosecute is determined by the amount of money received fraudulently and/or the presence of a significant identifiable scheme, e.g. use of a false Social Security number or a dummy claimant. It contains 613, Employer Reports; a copy of the claimant's benefit transcript showing a record of the unemployment compensation payments made to him; the Initial, Additional or Reopened Claim for Benefits; Warrants; the decision of the adjudicator; and/or any other forms or correspondence pertaining to an individual's claim as deemed necessary for the case. In addition, the record contains transmittal documents, information documents, and copies of both the summons and court record pertaining to the prosecution. If fraud is determined by the adjudicator and meets required monetary criteria, the case is turned over for prosecution to either the local authority (if within the 4-year statute of limitations) or to the U.S. Attorney (5-year statute of limitations and allowable because of federal dollars in the unemployment compensation program.) When probation has been completed, the record will be imaged.

RETENTION:

Retain for 8 year(s) or until administrative value met, whichever is greater

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is proposed and has not yet been approved.

FORMAT MANAGEMENT:

Paper: Retain in Office until scanned or until probation has been completed and then destroy.

Computer data files: Retain in Office for 8 years or until administrative value met, whichever is greater and then delete.

AGENCY: Department of Workforce Services. Unemployment Insurance Division

SERIES: 84113

TITLE: Prosecution files

(continued)

APPRAISAL:

These records have administrative, fiscal, and/or legal value(s).

PRIMARY DESIGNATION:

Public Except those portions not used in evidence of criminal prosecution

SECONDARY DESIGNATION(S):

Private. Except for the portion of information used in the criminal prosecution which is public.

Controlled. Criminal history record both before and as a result of prosecution for Unemployment Insurance fraud.

AGENCY: Department of Workforce Services. Unemployment Insurance Division

SERIES: 84112

3

TITLE: Unemployment eligibility decision/overpayment case files

DATES: 1989-

ARRANGEMENT: Alphabetical by client surname.

ANNUAL ACCUMULATION: 3.00 cubic feet.

DESCRIPTION:

This record documents the investigation process used to determine whether or not a claimant is eligible to receive unemployment and properly paid. These files may contain form 606 or 615C Employer Reports; forms 615C, 680T, or 680G, Claimant Statements; form 615C, written decisions, as well as any other paper work or correspondence used to document the eligibility decision or overpayment of benefits. After three months, these records will be imaged.

RETENTION:

Retain for 8 year(s) or until administrative value met, whichever is greater

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 10/2001

FORMAT MANAGEMENT:

Paper: For records prior to and including 2025. Retain in Office for 3 months or until scanned and then destroy.

Computer data files: Retain in Office for 8 years or until administrative value has been met and then delete.

APPRAISAL:

These records have administrative, fiscal, and/or legal value(s). Administrative need remains as long as: data is being requested by and provided to other government agencies, matching agreements are in place, employer remains in business, UI overpayments remain unpaid, or data is being used to identify statistical information and trends.

AGENCY: Department of Workforce Services. Unemployment Insurance Division

SERIES: 84112

TITLE: Unemployment eligibility decision/overpayment case files

(continued)

PRIMARY DESIGNATION:

Private Utah Code 63G-2-302(1)(a) (2019)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2020.

AGENCY: Department of Workforce Services. Unemployment Insurance Division

SERIES: 7565

3

TITLE: Unemployment insurance backup microfilm

DATES: 1984-2006.

ARRANGEMENT: Numerical by roll number.

DESCRIPTION:

These rolls of duplicate microfilm are created by the Technical Services and Collections Sections of the Department of Employment Security and are given to the Internal Audit Section as a security measure. These duplicates are neither audited nor used to respond to public requests for wage and unemployment insurance data. They are considered a security measure in the event of a system crash.

RETENTION:

Retain for 10 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 10/2001

FORMAT MANAGEMENT:

Microfilm duplicate: Retain in Office until 1991 or for 6 months, whichever is later, and then transfer to State Records Center. Retain in State Records Center for 10 years and then destroy.

APPRAISAL:

These records have administrative value(s). This disposition is based on the administrative need expressed by section auditors to guarantee security of system backup. Furthermore, it recognizes that requests for wage and unemployment insurance information often go back 15 years.

AGENCY: Department of Workforce Services. Unemployment Insurance Division

SERIES: 7565

TITLE: Unemployment insurance backup microfilm

(continued)

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 12/2020.