

Retention and Classification Report

Agency: Department of Employment Security. Contributions and Collection Services (1465)

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Salt Lake City, UT 84111
801-536-7680

Records Officer: _____

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AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83891

1

TITLE: "GOTCHA" request list

DATES: 1980.

ARRANGEMENT: Chronological

DESCRIPTION:

This is a computer generated paper report documenting individuals' whose state tax refund checks Employment Security has targeted for reimbursement under Utah's "GOTCHA" program. This listing is used for reconciliation, e.g. recording notations regarding amounts received versus amount requested/outstanding and for reference when responding to inquiries by individuals whose refunds have been captured under the "GOTCHA" program.

RETENTION:

Retain for 4 year(s)

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 for 4 years or until administrative need ends and then destroy.

APPRAISAL:

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

This disposition is based on 1993 Utah General Schedule, Schedule 4, Item 5, and the administrative needs expressed by the agency.

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(3) 1994

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2019.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83874

3

TITLE: Accounts receivable daily updates journal

DATES: 1985-1999.

ARRANGEMENT: Chronological

DESCRIPTION:

This is a ledger based on figures taken from the Contributions Monetary Batch Summary, i.e., a condensation of the information contained in that report. It is used for comparing current versus past year write-offs. The ledger is arranged chronologically by month and thereunder posted with daily amounts under the headings contributions, interest, penalty, set ups, and collections in accounts receivable. Write-offs is a monthly entry.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Audited financial statements, GRS-1857.

AUTHORIZED: 12-03-2018

FORMAT MANAGEMENT:

Paper: Retain in Office for 4 years and then destroy.

APPRAISAL:

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

This disposition is based on Utah State 1993 General Schedule, Schedule 7, Item 2, and administrative needs expressed by the agency.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83996

3

TITLE: Benefit accounts receivable activity report

DATES: 1987-2019.

ARRANGEMENT: Chronological, thereunder numerical by reference number.

DESCRIPTION:

This is a daily computer generated report showing overpayment accounts set up that day. It includes claimant name, address, social security number, and amount of overpayment set up. This record is used for reconciliation purposes. This record series is filed under the heading Output Machine Accounts along with two other related computer generated listings entitled Benefits Accounts Receivable Account Listing, and Benefit Accounts Receivable and Federal Aging Report.

RETENTION:

Retain for 2 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:

Paper: Retain in Office for 2 years and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Exempt Utah Code 35-4-312(3) (1994)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 4042

3

TITLE: Benefit activity lists and registers

DATES: 1985-2019.

ARRANGEMENT: Chronological, thereunder numerical by social security number.

DESCRIPTION:

These computer printouts serve as source information for summary accounting and financial records including the general ledger.

They are created by Central Office Claims and Collection Services Staff to show the level of benefits activity and include recipient's name and social security number, type and amount of benefits paid, warrant numbers, dates issued, and overpayments.

RETENTION:

Retain for 5 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 12/1994

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy.

APPRAISAL:

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

This disposition is based on the administrative needs expressed by the agency for the purpose of conducting audits.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 4042

TITLE: Benefit activity lists and registers

(continued)

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83834

3

TITLE: Benefit batch receipts

DATES: 1983-2019.

ARRANGEMENT: Numerical by batch number.

DESCRIPTION:

Agency copy of receipts given to customers who pay the agency for services rendered.

RETENTION:

Retain for 7 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule State government accounts payable and receivable records, GRS-1854.

AUTHORIZED: 02-11-2019

FORMAT MANAGEMENT:

Paper: Retain in Office for 7 years and then destroy.

Microfilm master: Retain in Office for 7 years and then destroy.

APPRAISAL:

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

Paper retention is based on administrative need; microfilm retention is based on General Schedule 6-13 and is consistent with three year Federal audit requirements.

PRIMARY DESIGNATION:

Private Utah Code 63G-2-201(3)(b) and 63G-2-302(4) 1994

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83957

3

TITLE: Benefit data entry miscellaneous notations

DATES: 1989-1995.

ARRANGEMENT: Chronological

DESCRIPTION:

This record documents benefit data entry update notations. It contains the actual source documents used as backup to the data system. This is used for reconciliation purposes to ensure that entries did post to the mainframe system.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 10/2001

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 month or until mainframe posting is verified and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(3) 1994

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83873

3

TITLE: Benefit judgments filed listings

DATES: 1970-1989.

ARRANGEMENT: Chronological, thereunder numerical by benefit recipient social security number

DESCRIPTION:

This is a computer generated list of all benefit overpayment recipients against whom Employment Security has filed a judgement due to failure to pay an overpayment. It includes the recipient name, address, and social security number; and the county in which the judgement was filed. It is used for reference, reconciliation, and manual posting of the recording date and case number assigned when that information is received from the county clerk.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 07/1988

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years or until administrative need ends and then destroy.

APPRAISAL:

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

This disposition is based on 1988 Utah State General Schedule, schedule 4, item 5.

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. Address, signature

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83979

3

TITLE: Benefit microfilm and image files

DATES: 1989-2020.

ARRANGEMENT: Numerical by social security number.

TOTAL VOLUME: 0.10 cubic feet.

DESCRIPTION:

These files contain copies of all documents, forms, and correspondence pertaining to 5-E violations, overpayment, or fraudulent claimant files. The file contains initial claim information, investigation findings and decisions, docket or judgment information, satisfactions, payment schedules, collection activity, and any other correspondence or paperwork regarding the overpayment, 5-E violation or fraudulent claim.

RETENTION:

Retain for 5 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 master: Retain in Office for 5 years and then destroy.

Computer data files: Retain in Office for 5 years and then delete.

APPRAISAL:

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

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83979

TITLE: Benefit microfilm and image files

(continued)

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(3) 1994

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 12/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83890

1

TITLE: Benefit overpayment set up documents

DATES: 1985-1992.

ARRANGEMENT: Chronological, thereunder numerical by batch

DESCRIPTION:

This record documents the establishment of overpayment accounts. It contains Form 629 which includes claimant's name, address, social security number and overpayment type and amount. This is the only record of the overpayment set up documents, i.e., this information is not filmed as part of the Benefit Microfilm Jacket File and must be maintained separately to document overpayment set up, amount, and reason.

RETENTION AND DISPOSITION AUTHORIZATION:

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

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years and then destroy provided audits are completed and no disputes are pending.

APPRAISAL:

These records have administrative, and/or fiscal value(s).
This disposition is based on Utah State 1993 General Schedule, Schedule 7, Item 1.

PRIMARY DESIGNATION:

Private

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84130

1

TITLE: Benefit payment account monthly analysis

DATES: 1984.

ARRANGEMENT: Chronological

DESCRIPTION:

This is a Federal reporting form documenting daily deposits and withdrawals to the benefit payment account. It is composed of funds collected from unemployment contributions paid by employers to be used for unemployment benefits. It documents money transferred from the unemployment trust fund in Washington, D.C. to pay unemployment benefits.

RETENTION:

Retain for 5 year(s)

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 for 1 year and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

APPRAISAL:

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

This disposition is based on 1993 Utah State General Schedule, Schedule 7, Item 21.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84130

TITLE: Benefit payment account monthly analysis

(continued)

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-302 (1)(e) (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2019.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84006

3

TITLE: Benefits accounts receivable trial balance account listing

DATES: 1987-2019.

ARRANGEMENT: Chronological.

DESCRIPTION:

This is a daily computer generated report showing accounts receivable activity detail by benefit name, address, and social security number under the batch listing. This is used for reconciliation purposes and administrative need, e.g., when the computer is down this report can be used for reference. This record series is filed under the heading Output Machine Accounts along with two other related computer generated reports entitled, Benefit Transaction Batch Listing, Record Series 83995 and Overpayment Accounts Receivable Listing, Record Series 83996.

RETENTION:

Retain for 2 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:

Paper: Retain in Office for 2 years and then destroy.

APPRAISAL:

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

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84006

TITLE: Benefits accounts receivable trial balance account listing

(continued)

PRIMARY DESIGNATION:

Exempt Utah Code 35-4-312(3) 1994

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83995

3

TITLE: Benefits transaction batch listing

DATES: 1985.

ARRANGEMENT: chronological, thereunder numerical by batch

DESCRIPTION:

This is a daily computer generated report of all benefit monetary transactions by batch number. It is used for reconciliation purposes to ensure that batch entries were correct. This report is filed under the heading Output Machine Accounts along with two other related computer generated reports, Benefits Accounts Receivable Trial Balance Account Listing, Record Series 84006 and Overpayment Accounts Receivable Listing, Record Series 83996.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 10/2001

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(3) 1994

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83997

3

TITLE: Cleared benefits ledgers

DATES: 1980-1995.

ARRANGEMENT: Alphabetical by recipient surname, thereunder chronological by year

DESCRIPTION:

These records are "ledger cleared" computer print outs from the Benefit Overpayment Computer Data File. They document overpayment accounts for individual claimants. When an individual's overpayment account on the computer data file reaches maximum storage capacity, a printout of information is then generated by the system for historical purposes since the information can no longer be accessed on the data system.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 06/1997

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

Computer data files: Retain in Office until account is cleared or written off and then delete.

APPRAISAL:

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

This disposition is based on the administrative needs expressed by the agency for the purpose of conducting audits.

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(3) 1994

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84131

1

TITLE: Clearing account monthly analysis

DATES: 1984.

ARRANGEMENT: Chronological

DESCRIPTION:

Includes the following: FICAA01T Trail balance monthly. FICAA05P Outstanding encumbrance. FICAA09P Outstanding reservation. FICAA10P Cash deposits. FICAA30P General ledger activity. FICAA85P Revenue and expenditure status by fund. FICAED01 Expenditure detail by sub-account. FICAES01 Expenditure status by sub-account. FICAES02 Work program/expenditure comparison by summary account. FICARD01 Revenue detail by sub-account within organization. FICARS01 Revenue status by sub-account. FICARS02 Estimated revenue/realized revenues. FICAER01 Expenditure/revenue summary by level 2. FICAMP01 Revenue account status by activity other than Department of Transportation. OBSOLETE RECORD SERIES BY 1998.

RETENTION:

Retain for 5 year(s)

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 for 5 years and then destroy.

APPRAISAL:

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

This disposition is based on Utah State General Schedule 1993, Schedule 7, Item 21.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84131

TITLE: Clearing account monthly analysis

(continued)

PRIMARY DESIGNATION:

Public UCA 63G-2-301 (2008)

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-302 (1)(e) (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2019.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84005

3

TITLE: Collections working files

DATES: 1988-

ARRANGEMENT: Numeric by employer identification number, thereunder alphabetical by benefit recipient surname.

DESCRIPTION:

This record documents current legal activity on outstanding employer and benefit accounts. It contains legal papers that are working files which eventually become imaged.

RETENTION:

Retain for 20 year(s) or until administrative value has been met

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: Retain in Office for 6 months or until collection activity has ceased and then image.

Computer data files: Retain in Office for 20 years or until administrative value met, whichever is greater and then delete.

APPRAISAL:

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

PRIMARY DESIGNATION:

Exempt Utah Code 35-4-312(3) (1994)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 07/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84275

1

TITLE: Contribution batch books

DATES: 1985-2019.

ARRANGEMENT: Alphabetical by program type, thereunder numerical by batch.

DESCRIPTION:

These are batch books maintained by the data entry unit to log in the date, batch number, batch type, operator, balancer and number of entries. These books are used to keep track of the batches being processed. When the process is complete, the operator will then transmit the batch information to the mainframe. One book is arranged in date order and contains the data entry jobs. The second book is arranged by job and is then in batch order within the job. The two logs provide a means to validate the other.

RETENTION:

Retain for 3 year(s)

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 for 3 years and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Public Utah Code 63G-2-301 (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83833

3

TITLE: Contribution monetary documents

DATES: 1979-2019.

ARRANGEMENT: Numerical by batch number.

DESCRIPTION:

This series is a source documents file, excluding journal entries, used to establish contribution (tax) liability and payments thereof. Source documents include quarterly contribution reports, Form 20's, audits, and multiple quarter reports. Reports are scanned, then processed.

RETENTION:

Retain for 3 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:

Paper: Retain in Office for 6 months after scanned and then destroy.

Computer data files: Retain in Office for 3 years and then delete.

APPRAISAL:

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

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83833

TITLE: Contribution monetary documents

(continued)

PRIMARY DESIGNATION:

Exempt Utah Code 35-4-312(3) 1994

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83980

3

TITLE: Contributions back up data magnetic tape file

DATES: 1989-2000.

ARRANGEMENT: Chronological

DESCRIPTION:

This is magnetic storage tape backup file documenting all data entered into the Tarton computer data file that would enable Contributions to recreate data entered or programming in case of computer breakdown or failure. It includes data scanned by the Input 80 optical reader. The saves are run twice a day; the noon run backs up all data entry and the evening run backs up the entire system including programming.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 10/2001

FORMAT MANAGEMENT:

Computer magnetic storage media: Retain in Office for 45 days and then recycle tape provided any backup information needed has been copied.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(3) 1994

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83983

3

TITLE: Contributions monetary batch listing

DATES: 1985-2019.

ARRANGEMENT: Chronological.

DESCRIPTION:

This is a computer generated report of daily batch activity for the Contributions area with detail by employer identification/account number. This is part of the daily update used for reconciliation of manual entries versus information in the data file as indicated by this report.

RETENTION:

Retain for 2 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:

Paper: Retain in Office for 2 years and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Exempt Utah Code 35-4-312(3) 1994

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83944

3

TITLE: Contributions monetary batch summary

DATES: 1986-2019.

ARRANGEMENT: Chronological.

DESCRIPTION:

This is a computer generated report summarizing daily batch activity for the Contributions area (employer monetary activity), e.g., deposits, set ups, accounts receivable collected, etc. This report is part of the daily update used for reconciliation of manual input with computer update information on the report.

RETENTION:

Retain for 2 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:

Paper: Retain in Office for 2 years and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83977

3

TITLE: Current quarter wage data file

DATES: 1986-2019.

ARRANGEMENT: Numerical by batch number.

DESCRIPTION:

This record documents current quarter total wages paid by employers. It includes the employer's number and name; and the employee's name, social security number and wages. This information comes to Workforce Services in many formats. These include Department of Workforce Services form 3-H or 3-C; an employer's computer generated listing of employees; a handwritten document; diskette; e-mail; internet; or on employer magnetic tape. Wage data is scanned on an optical scanner, and processed into the mainframe computer file. Wage data sent on magnetic tape diskette, e-mail, and internet is loaded directly onto to the mainframe; Tape is maintained long enough to ensure transfer to the on-line system; and returned to the employer.

RETENTION:

Retain for 3 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:

Paper: Retain in Office for 1 week after scanned for imaging and quality checked and then destroy.

Computer data files: Retain in Office for 3 years and then delete.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83977

TITLE: Current quarter wage data file

(continued)

APPRAISAL:

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

PRIMARY DESIGNATION:

Exempt Utah Code 35-4-312(3) 1994

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83541

3

TITLE: Delinquent employer listing/contribution reports

DATES: 1985-2020.

ARRANGEMENT: Numerical by zip code.

DESCRIPTION:

This record series is a computer generated report identifying employers who are delinquent in submitting the first part of a two part form requesting total payroll and computation of employer unemployment taxes by quarter. It includes employer account number, name, and zip code as well as quarter(s) delinquent.

RETENTION:

Retain for 4 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:

Paper: Retain in Office for 4 years and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Protected UCA 63G-2-201(3)(b) 1995

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 12/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83540

3

TITLE: Delinquent employer listings/wage lists

DATES: 1985-2020.

ARRANGEMENT: Numerical by zip code.

DESCRIPTION:

This record series is a computer generated paper report identifying employers delinquent in submitting the second part of a two part form sent to employers quarterly requesting information on total wages paid by employee. It contains the employer's account number, name, and address.

RETENTION:

Retain for 4 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:

Paper: Retain in Office for 4 years and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(3) 1994

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 12/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83981

3

TITLE: Employer batch verification (part 1)

DATES: 1986.

ARRANGEMENT: Numerical by batch number

DESCRIPTION:

This record, a part of the daily update, is an internal recap of information from the Form 3 Batch Listing, Record Series 83982 and the Contributions Monetary Batch Summary, Record Series 83944. If there are discrepancies, manual reports are attached to indicate why changes (on the computer data file) were necessary.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 10/2001

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84007

3

TITLE: Employer batch verification (part 2)

DATES: 1987-2019.

ARRANGEMENT: Numerical by batch.

DESCRIPTION:

These are backup documents used to make batch corrections and/or reconciliations due to errors such as wrong account, wrong rate, etc. This is part of the daily update documenting specific dollar amounts, account numbers, etc. that were rejected and are to be input again.

RETENTION:

Retain for 3 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:

Paper: Retain in Office for 3 years and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Exempt Utah Code 35-4-312(3) 1994

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84016

3

TITLE: Employer identification number log

DATES: 1983-1999.

ARRANGEMENT: Numerical by identification number

TOTAL VOLUME: 1.00 cubic foot.

DESCRIPTION:

This record documents identification numbers assigned to employers set up with Employment Security. The purpose of this record is to ensure that employers are not assigned duplicate numbers. Information includes the date, the account number and the name of the employer.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 03/2001

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 9 years and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83889

3

TITLE: Employer judgments filed listing

DATES: 1969-1999.

ARRANGEMENT: chronological, thereunder numerical by employer identification number

TOTAL VOLUME: 0.20 cubic feet.

DESCRIPTION:

This is a computer generated report of employers, by employer identification number, against whom Workforce Services has filed a judgment due to failure to pay quarterly taxes assessed. It includes the employer's name, identification/account number, quarter(s) involved, any interest and/or penalty assessed, and the county in which the judgment was filed. This report is used for reference and manual posting of the county recording date and the case number assigned when that information is received from the county clerk.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 10/2001

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(3) 1994

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84218

3

TITLE: Employer review representative decisions - pending file

DATES: 1989-1995.

ARRANGEMENT: Numerical by assigned case number

DESCRIPTION:

This file documents the decisions, made by the employer review representative of the Contributions area, on employer disputes regarding contribution rates or audit findings. It includes any applicable paperwork, forms, correspondence, informal hearing findings, etc. used to make that decision. This is a working file; if the decision is appealed, the file becomes part of the Lower Authority Appeals Case Files, Record Series 84114; if the decision is not appealed, the record is microfilmed as part of the Employer background data file, Record Series 83978.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Working files, GRS-1684.

AUTHORIZED: 12-20-2018

FORMAT MANAGEMENT:

Paper: Retain in Office until decision is made and then file in appropriate file.

APPRAISAL:

These records have administrative, fiscal, and/or legal value(s). Retention is based on administrative need. Per U.C.A. 35-4-11 (g), "Each employing unit shall keep true and accurate work records containing any information the commission may prescribe by rule. The records shall be open to inspection and subject to being copied by the commission or its authorized representative at any reasonable time and as often as may be necessary. Information thus obtained or obtained from any individuals may not be published or open to public inspection, other than to public employees in the performance of their public duties, in any manner revealing the employing unit's or individual's identity..."

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84218

TITLE: Employer review representative decisions - pending file

(continued)

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(3) 1994

SECONDARY DESIGNATION(S):

Private. Signature, social security number, telephone number

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84023

3

TITLE: Employment and training administrative reports

DATES: 1983-2019.

ARRANGEMENT: Chronological.

DESCRIPTION:

This report documents the total number of employer accounts set up for the quarter, total number of terminated accounts, and total of actual employers in active status as of the end of the quarterly reporting period. This report is prepared in compliance with Federal regulations.

RETENTION:

Retain for 3 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:

Paper: Retain in Office for 3 years and then destroy.

APPRAISAL:

These records have administrative value(s).

Retention is based on three year Federal audit requirements.

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 3796

3

TITLE: Employment newsletter

DATES: i 1955-

ARRANGEMENT: Chronological.

DESCRIPTION:

These newsletters are produced by the Department of Workforce Services. The newsletter is published quarterly and features articles with helpful information or updates for the employer community.

The title of this publication is currently the "Employment Advisor." It was previously known as the "Utah Employment Bulletin," "Utah Monthly Employment Review," and the "Employment Newsletter."

RETENTION:

Retain permanently

DISPOSITION:

May Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Publications, GRS-1678.

AUTHORIZED: 10-30-2018

FORMAT MANAGEMENT:

Paper: Retain in State Archives permanently with authority to weed.

Computer data files: Retain in State Archives permanently with authority to weed.

APPRAISAL:

These records have historical value(s).

These records have historical value because they provide evidence of the significant effect of governmental programs and actions on individuals, communities, and the natural and man-made environment, and because they contribute substantially to knowledge and understanding of the people and communities of our

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 3796

TITLE: Employment newsletter

(continued)

state.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 03/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84028

3

TITLE: Federal form 940C

DATES: 1985-1995.

ARRANGEMENT: Alphabetical by employer

DESCRIPTION:

This is a form documenting total wages reported, contribution rate, and contributions paid during a tax year by a specific employer. Each year the IRS sends Employment Security a computer generated report entitled FUTA Zero Certification which lists employers for which there are discrepancies between what was reported to the Federal government versus the state (based on information provided by the state). Employment Security reconciles this report by reviewing those employer accounts and making notations regarding errors such as transposed wage or contribution figures, wrong corporate name, wrong identification number, etc. and returns the list to the Federal government. The 940C's are often prepared as an indirect result of this report, e.g., Employment Security cannot reconcile an employer account; the IRS so notifies the employer; the employer then contacts Employment Security to correct or clarify information and/or for verification. The 940 forms may also be prepared as a result of an audit request.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 10/2001

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years and then destroy.

APPRAISAL:

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

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84028

TITLE: Federal form 940C

(continued)

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(3) 1994

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84012

3

TITLE: Form 1 status report

DATES: 1987-2020.

ARRANGEMENT: Numerical by batch.

DESCRIPTION:

This form is completed by new employers in order to establish an account and a contribution (employment tax) rate. It includes identification number assigned; business name and address; name and social security number of the business owner; date of payment of first wages; business activity or commodity produced; previous owner name (if any); and amount of wages paid in Utah this year, last year, and previous years. If the business has not paid any wages, this record becomes part of the non-subject file, Record Series #84015. If any wages have been paid, a rate is established for the employer; and the form is microfilmed as part of the Employer Microfilm Jacket file, Record Series 83978, and the paper copy is later destroyed.

RETENTION:

Retain for 6 month(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:

Paper: Retain in Office for 6 months after scanned and then destroy.

Computer data files: Retain in Office until administrative need ends and then delete.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84012

TITLE: Form 1 status report

(continued)

APPRAISAL:

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

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83982

3

TITLE: Form 3 batch listing

DATES: 1987-2019.

ARRANGEMENT: Chronological, thereunder numerical by batch number.

DESCRIPTION:

This is a computer generated paper listing the contents of an employer monetary (contributions) batch by entry amount and the batch total. Though this is called a Form 3 Batch Listing it could be one of several employer monetary batches arranged by format for ease in storage and retrieval of paper files until filming is completed such as journal entries, payments, returned checks, refunds, audits, etc. in addition to the Form 3's. A calculator tape of entry amounts is then compared with the system total to ensure correct entry. These batch listings plus the batch documents are then filmed as part of the Batch Receipts Record Series 83833.

RETENTION:

Retain for 3 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:

Paper: Retain in Office for 6 months after being microfilmed and then destroy provided microfilm has passed inspection.

Microfilm master: Retain in Office for 3 years and then destroy.

APPRAISAL:

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

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83982

TITLE: Form 3 batch listing

(continued)

PRIMARY DESIGNATION:

Exempt Utah Code 35-4-312(3) 1994

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84013

3

TITLE: Form 44 account change files

DATES: 1989-2020.

ARRANGEMENT: Numerical by employer account number.

DESCRIPTION:

This form is used to document benefit changes on employer accounts. Information comes from claims unit regarding changes in benefits. Information from this form is entered onto the mainframe system and scanned as part of the Employer Image File.

RETENTION:

Retain until administrative need ends

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: Retain in Office for 6 months after being microfilmed and then destroy provided microfilm has passed inspection.

Computer data files: Retain in Office until administrative need ends and then delete.

APPRAISAL:

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

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(3) 1994

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84024

3

TITLE: Form 45 rate sheets

DATES: 1985-2020.

ARRANGEMENT: Chronological, thereunder numerical by employer identification number.

DESCRIPTION:

This record documents the wages and benefits paid by an employer during the last year and is used to compute the next annual contribution rate for that employer. It is also used for reference when an employer calls regarding his rate or the computation of that rate. The information used to compile this report is stored in a data base which also generates an annual paper printout to each employer notifying him of his new contribution rate.

RETENTION:

Retain for 3 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:

Computer output microfilm master: Retain in Office for 3 years and then destroy.

Computer data files: Retain in Office for 3 years or until administrative need ends and then delete.

APPRAISAL:

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

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84024

TITLE: Form 45 rate sheets

(continued)

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(3) 1994

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83539

3

TITLE: Form 81 audit reports

DATES: 1985-2020.

ARRANGEMENT: Alphabetical by business name.

DESCRIPTION:

This record series documents the results of employer unemployment insurance audits. It includes records of wages and contributions reported, verified and adjusted; worksheets and documentation supporting the report; business ownership; business activity; records examined; issues discussed; and reasons for assessments or adjustments if made.

RETENTION:

Retain for 4 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:

Paper: Retain in Office for 4 years and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Exempt UCA 35-4-312 (3) 1994

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83998

3

TITLE: Futa zero certification report

DATES: 1987-1992.

ARRANGEMENT: Chronological

DESCRIPTION:

This is a computer generated paper report listing employers for whom there are discrepancies between what was reported to the IRS versus the state, e.g. total wages paid, identification numbers, etc. Employment Security reconciles this report by reviewing those employer accounts and making notations regarding errors such as transposed numbers, wrong corporate name, wrong identification number, etc. The report is then sent to the IRS; no copy is maintained in the office.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 10/2001

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 months or until reconciled and then send to the Internal Revenue Service.

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(3) 1994

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84125

1

TITLE: Income-expense analysis, unemployment compensation fund benefit payment account

DATES: 1984.

ARRANGEMENT: Chronological

DESCRIPTION:

This is a Federal reporting form which documents daily deposits and withdrawals as well as monthly income and expense analysis of the bank handling these transactions.

RETENTION:

Retain for 5 year(s)

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 for 5 years and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-302 (1)(e) (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2019.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84128

1

TITLE: Income-expense analysis, unemployment compensation fund clearing account

DATES: 1984.

ARRANGEMENT: Chronological

DESCRIPTION:

Includes the following: FICAA01T Trail balance monthly. FICAA05P Outstanding encumbrance. FICAA09P Outstanding reservation. FICAA10P Cash deposits. FICAA30P General ledger activity. FICAA85P Revenue and expenditure status by fund. FICAED01 Expenditure detail by sub-account. FICAES01 Expenditure status by sub-account. FICAES02 Work program/expenditure comparison by summary account. FICARD01 Revenue detail by sub-account within organization. FICARS01 Revenue status by sub-account. FICARS02 Estimated revenue/realized revenues. FICAER01 Expenditure/revenue summary by level 2. FICAMP01 Revenue account status by activity other than Department of Transportation. OBSOLETE RECORD SERIES BY 1998.

RETENTION:

Retain for 5 year(s)

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 for 5 years and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Public

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84128

TITLE: Income-expense analysis, unemployment compensation fund clearing account

(continued)

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-302 (1)(e) (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2019.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84002

3

TITLE: Interest updates

DATES: 1985-1992.

ARRANGEMENT: Chronological, thereunder numerical by employer identification number
DESCRIPTION:

This report documents interest assessed on all past due employer accounts. It also indicates outstanding contribution amount, interest and penalty assessments before more interest is assessed, and total interest owing after the new interest assessment is posted.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 11/2000

FORMAT MANAGEMENT:

Computer output microfiche master: Retain in Office for 3 years and then destroy.

APPRAISAL:

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

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83529

3

TITLE: Monthly audit report summary

DATES: 1987-1998.

ARRANGEMENT: Chronological

DESCRIPTION:

This record series is a computer generated paper report indicating audits completed during a one month period. It includes the data from Form 81 including record of wages and contributions reported, verified, and adjusted; business ownership; business activity; records examined; issues discussed; and reasons for assessments or adjustments as well as field auditor's name; employer's account number and name; quarters audited; differences per audit; and unit summaries. These monthly summaries are used to compile federal Form ETA 581 each quarter.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 10/2001

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years or until microfilmed and then destroy provided microfilm has passed inspection.

Microfilm master: Retain in Office until administrative need ends and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(3) 1994

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84015

3

TITLE: Non-subject file

DATES: 1987-2020.

ARRANGEMENT: Numerical by account number.

DESCRIPTION:

Non-subject files document employers who have not and are not currently paying wages, but may be in the future. Information regarding these employers is entered into an operational computer system through a workflow after being imaged. A workflow system assigns the account number.

RETENTION:

Retain until administrative need ends

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: Retain in Office for 6 months or until scanned and then destroy.

Computer data files: Retain in Office until administrative needs end and then delete.

APPRAISAL:

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

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84015

TITLE: Non-subject file

(continued)

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(3) 1994

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84001

3

TITLE: Prior quarter wage data correction source documents

DATES: 1988.

ARRANGEMENT: numerical by batch

DESCRIPTION:

This is a record of the source documents used in data entry to add, delete or correct wage information maintained on the mainframe. Documents can be wage lists, computer printouts, letters, audit wage forms, etc. Documents are generated through audits, letters from employers, employees making corrections to the monetary and wage files and claimants with proof of social security number errors.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 10/2001

FORMAT MANAGEMENT:

Paper: Retain in Office for 6 months or until scanned and then destroy.

Computer data files: Retain in Office for 3 years and then delete provided audits are completed and no disputes are pending.

APPRAISAL:

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

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(3) 1994

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84022

3

TITLE: Quarterly federal employer identification number list

DATES: 1988-2020.

ARRANGEMENT: Chronological.

DESCRIPTION:

This is a computer generated report listing all Utah employers with Federal employment identification numbers. To comply with the unemployment tax law, employers must register with and receive an identification number from both the state Employment Security office and the Federal government. This print-out is used as a cross-referencing tool to identify any Utah employers registered with the Federal government but not with Utah.

RETENTION:

Retain for 1 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Transitory tracking records, GRS-1720.

AUTHORIZED: 03-09-2021

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year or until updated and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(3) 1994

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 25362

3

TITLE: Quarterly statement of benefit costs

DATES: 1985-2019.

ARRANGEMENT: Numerical by employer identification number.

DESCRIPTION:

This is a computer output data file of actual benefit costs paid to an employer's former employee(s) during the previous quarter. It includes employee (claimant) name, social security number, percent of wages used in payment of individual benefit cost attributable to the employer, and total benefit cost to the employer for each quarter. A printed copy of this report is provided to employers for their information since this data, along with total wages paid during the previous five years, is used to compute contribution rates for those employers for the next year. For this reason a computer data file of this information is stored on each employer's imaging file so the information is available when an employer contacts the Department regarding questions based on the benefits paid and charged to his account.

RETENTION:

Retain for 7 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Payroll post processing records, GRS-1904.

AUTHORIZED: 07-01-2015

FORMAT MANAGEMENT:

Computer data files: Retain in Office for 7 years and then delete.

APPRAISAL:

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

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84020

3

TITLE: Reciprocal agreements

DATES: 1938-2019.

ARRANGEMENT: Alphabetical by employer.

DESCRIPTION:

This record documents employers who have made reciprocal contribution agreements. Because there are employers who pay wages in more than one state, it is possible for them to set up reciprocal agreements which enable them to pay contribution taxes and complete any forms and/or other paperwork necessary to comply with unemployment tax laws for one state rather than more than one state. These agreements may be ones set up with the State of Utah for Utah based employers paying wages in other states or they may be agreements set up with other states for employers who pay wages in another state or states as well as Utah.

RETENTION:

Retain until separation

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: Retain in Office until employer is deleted and then destroy.

APPRAISAL:

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

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84129

1

TITLE: Reconciliation of monthly summary

DATES: 1984.

ARRANGEMENT: Chronological

DESCRIPTION:

This is a reconciliation of the monthly summary of daily unemployment contributions activity. It documents employer taxes assessed and collected, refunds of employer overpayments, and writeoffs of receivables for that period.

RETENTION:

Retain for 5 year(s)

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 for 2 years and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2019.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 4037

3

TITLE: Redeemed benefit warrants

DATES: 1985-2019.

ARRANGEMENT: Chronological, thereunder numerical by check number.

DESCRIPTION:

These warrants for unemployment benefits verify that the checks issued have been redeemed. They are maintained as a record of signature, recording the date and place where the check was redeemed. Redeemed warrants are filmed by the agency for reference purposes, but the original paper copies are also maintained for evidence in fraud cases. The warrants include personal social security number, warrant number, week ending date, date issued, check number, recipient's name and address, amount of benefits, and signature.

RETENTION:

Retain for 7 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule State government accounts payable and receivable records, GRS-1854.

AUTHORIZED: 02-11-2019

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 6 years and then destroy.

APPRAISAL:

These records have fiscal value(s).

The paper disposition is consistent with the agency's policy of pursuing fraudulent claims within five years from the issue date.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 4037

TITLE: Redeemed benefit warrants

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. Social security number

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84017

3

TITLE: Reimbursable employers log

DATES: 1983-1999.

ARRANGEMENT: Numerical by identification number

TOTAL VOLUME: 1.00 cubic foot.

DESCRIPTION:

This record documents the assignment of numbers to reimbursable employers. These are not-for-profit organizations that are set up differently than for-profit employers, i.e., they do not pay contribution taxes, but "reimburse" Employment Security for any unemployment benefits that might be incurred on previous employees. Reimbursable employers are assigned a number from a compiled list in the same manner as the Employer Identification Number Log, Record Series 84016. Again, the purpose is to ensure that reimbursable employers are not assigned duplicate numbers.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 10/2001

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 9 years and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83872

3

TITLE: Revolving cash account bank statements

DATES: 1983-1998.

ARRANGEMENT: Chronological

DESCRIPTION:

This record documents checks written, deposits made, and manual reconciliations to the Contributions Revolving Cash Account. It contains the bank statement as well as the cancelled checks. Deposits consist of cash payments received from employers and claimants, as well as GOTCHA payments. Checks are then generated, for documentation purposes, to pay the actual fund for which those monies were intended. Copies of checks written become part of the Batch Receipt Files, Record Series 83834.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Audited financial statements, GRS-1857.

AUTHORIZED: 12-03-2018

FORMAT MANAGEMENT:

Paper: Retain in Office for 4 years and then destroy provided cancelled checks are retained for three more years.

APPRAISAL:

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

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(30 1994

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84124

3

TITLE: Statement of expenditures for unemployment compensation

DATES: 1984-2019.

ARRANGEMENT: Chronological.

DESCRIPTION:

This is a Federal reporting form which documents funds expended to pay unemployment compensation to former Federal employees and ex-servicemembers. This form indicates total funds transferred from Washington, D.C. and total funds paid for the quarter by Utah's Employment Security operation. Up until 1988, this was a monthly report; it is currently a quarterly report.

RETENTION:

Retain for 5 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:

Paper: Retain in Office for 5 years and then destroy.

APPRAISAL:

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

Retention is based on Part V, Section 9193 of the Employment Security Manual.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84018

3

TITLE: Status unit pending files

DATES: 1988-1999.

ARRANGEMENT: Alphabetical by employer name

DESCRIPTION:

This is a followup file regarding information or forms requested from employers such as Form 1, Form 3, etc. The turnover on most of this correspondence is one to two months, with a maximum pending time of eighteen months. The series includes a copy of the letter sent to the employer with a cover sheet containing DBA or corporate name, account number, owner or partner(s), business address, mail to information, form or information requested, new business or change of ownership, previous operator if any, type of business, information provided by, phone number, and date. This form expedites both the followup as well as the action to be taken when the file is pulled.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 10/2001

FORMAT MANAGEMENT:

Paper: Retain in Office for 18 months or until administrative need ends and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(3) 1994

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83538

3

TITLE: Tax audit system

DATES: 1986-1999.

ARRANGEMENT: Numerical by employer account number

DESCRIPTION:

This is an annual computer generated paper report documenting Field Audit Section assignments. It contains the name of the field auditor responsible for completing the assignment; type of assignment, e.g., audit, collection, status, claimant, interstate, etc.; employer account number and name; and the assignment beginning and end dates. This report originated in 1986 as a manually prepared report. In January, 1987, however, that same information was entered in a computer data file. Once a year, data is purged from the on-line system to generate this report.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 10/2001

FORMAT MANAGEMENT:

Paper: Retain in Office for 5 years or until microfilmed and then destroy provided microfilm has passed inspection.

Microfilm master: Retain in Office for 5 years or until administrative needs end and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(3) 1994

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83958

3

TITLE: Ten day notice to file judgment against claimant

DATES: 1987-1999.

ARRANGEMENT: chronological, thereunder numerical by social security number

DESCRIPTION:

This is a computer generated paper report listing overpayment recipients to whom Employment Security has sent notification that they will file judgments against their property within ten days if they do not make arrangements to pay outstanding under payments. This report is used for reconciliation of computer data input.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 10/2001

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(3) 1994

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83888

3

TITLE: Ten day notice to file judgment against employers listing

DATES: 1987-1999.

ARRANGEMENT: Chronological, thereunder numerical by employer identification number

DESCRIPTION:

This is a computer generated paper report listing employers to whom Employment Security has sent notification to file judgements against the employer's property within ten days if that employer does not make arrangements to pay past due quarterly taxes, interest, and penalties assessed. This report is used for reference and reconciliation of computer data input.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 10/2001

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years or until administrative need ends and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(3) 1994

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84014

3

TITLE: Terminated employer cards

DATES: 1987-1992.

ARRANGEMENT: Alphabetical by employer name

DESCRIPTION:

There are four status categories of employers registered with Employment Security. Status 1 is an active account; status 2 is an inactive account; status 3 is a withdrawn account, and status 4 is a terminated account. Computer mainframe data is maintained for employers in status 1, 2, or 4, but status 3 employers are deleted from the system. When this occurs, the system generates a paper computer card showing the employer name, address, and identification number. These cards are maintained for cross referencing purposes which enable Status Unit personnel to search this alphabetical file in some of the following situations: provide an identification number to an employer who has forgotten it after that employer has been terminated from the system; to be able to access the terminated employer microfilm jackets which are filed by identification number; and to reactivate the account number should the employer become active within the time frame that this file is maintained.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 10/2001

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years or until administrative need ends and then destroy.

APPRAISAL:

These records have administrative value(s).

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83832

1

TITLE: Transmittal receipts

DATES: 1984-1998.

ARRANGEMENT: Chronological

DESCRIPTION:

This record documents deposits made by Employment Security. It contains a copy of DF-34 Transmittal Receipt indicating, by number, batches included in the deposit as well as a copy of the deposit slip. The original DF-34 and a copy of the deposit slip goes to the State Treasurer's office. Actual checks from the deposit are microfilmed as part of the batch receipt microfilm files, Record Series 83833 or 83834. Deposits include the monies received from employer quarterly taxes, claimant payments for overpayments, fraud, fines, etc., combined wage claim monies from other states, etc.

RETENTION AND DISPOSITION AUTHORIZATION:

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

FORMAT MANAGEMENT:

Paper copy: Retain in Office for 3 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).
Retention is consistent with State Treasurer's office two year retention of these documents.

PRIMARY DESIGNATION:

Exempt UCA 35-4-312(3) 1994

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84217

3

TITLE: U.S. Department of Labor, employment contribution and training directives

DATES: 1978-2019.

ARRANGEMENT: By type of directive, e.g. program letter, information bulletin, thereunder chronological.

DESCRIPTION:

This is a record of directives issued by the U.S. Department of Labor's Employment and Training Administration regarding policies and procedures for Contribution areas of unemployment insurance divisions of Employment Security offices. Some of these directives may also contain records retention information. These directives must be maintained in order to ensure compliance with Federal guidelines; non-compliance could have serious fiscal or legal ramifications to the Department of Workforce Services.

RETENTION:

Retain until superseded

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: Retain in Office until superseded or updated and then destroy.

APPRAISAL:

These records have administrative, fiscal, and/or legal value(s). Permanent retention is required to ensure program compliance under Federal guidelines.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84217

TITLE: U.S. Department of Labor, employment contribution and training directives

(continued)

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83978

3

TITLE: Unemployment Insurance (UI) contribution employer records

DATES: 1980-

ARRANGEMENT: Numerical by employer identification number.

DESCRIPTION:

These records contain information pertaining to an employer registered with the Department for employer tax and unemployment compensation purposes. Employers in the state of Utah pay an unemployment insurance tax, or "contribution", as detailed in Utah Code 35A-4-3, and Utah Administrative Code R.994. The Department keeps a registry of employers, determines if employer accounts are subject to unemployment contributions, collects employer contributions and overpayments for unemployment benefits, and monitors employer compliance.

Records following this schedule include initial application forms, contribution rates, new hire and wage data information, correspondence, audit reports, etc. Records may also contain collection history data, payment schedules, and/or copies of notices to file property liens, satisfactions of judgements, longitudinal data, and related records.

Longitudinal data is data that is collected through a series of repeated observations of the same individuals over some extended time frame. Keeping longitudinal data helps the department and other requesters to measure change and make more informed decisions through research and reporting. Requestors may include the Department, other state and federal agencies, the Governor's Office, and the Utah State Legislature. Only aggregate data is given to outside agencies unless they have gone through the process of MOUs (Memoranda of Understanding), or matching agreements, in which case individual data elements are specified in a written agreement. Aggregate data can also be requested by colleges and universities, advocacy groups, the public and the media, each of whom work with the Department's legal office to ensure confidentiality.

RETENTION:

Retain for 3 year(s) after final action or until administrative value met, whichever is greater

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 83978

TITLE: Unemployment Insurance (UI) contribution employer records

(continued)

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

APPROVED: 08/2020

FORMAT MANAGEMENT:

Microfilm master: For records prior to and including 2018. Retain in Office until employer is no longer in business and then destroy.

Computer data files: Retain in Office for 3 years after final action or until administrative value met, whichever is greater and then delete.

Paper: For records prior to and including 2018. Retain in Office until scanned and then destroy.

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.

RETENTION JUSTIFICATION:

"Final action" refers to business closure.

PRIMARY DESIGNATION:

Exempt Utah Code 35A-4-312 (2016)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 09/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84132

1

TITLE: Unemployment insurance financial transaction summary

DATES: 1984.

ARRANGEMENT: Chronological

DESCRIPTION:

This is a Federal reporting form which documents monthly activities in the unemployment trust fund account, clearing account, and benefit payment account.

RETENTION:

Retain for 5 year(s)

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 for 5 years and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Public UCA 63G-2-301 (2008)

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-302 (1)(e) (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2019.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84000

3

TITLE: Wage random update batch book

DATES: 1985-2019.

ARRANGEMENT: Alphabetical by program type, thereunder numerical by batch.

DESCRIPTION:

This is a batch book maintained by the data entry unit to log in the date, the batch number and the operator entering the data as well as the individual who may have balanced or verified the accuracy of the information entered. The Wage Random Update data entry process is the mode to add to or correct the wage information on the master file.

RETENTION:

Retain for 3 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:

Paper: Retain in Office for 3 years and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2020.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84276

3

TITLE: Wage sequential update batch book

DATES: 1985-2019.

ARRANGEMENT: Chronological, thereunder numerical by batch.

DESCRIPTION:

This is a batch book maintained by the data entry unit to log in the date, batch number, operator entering the data as well as the individual who balanced or verified the accuracy of the information. Two books are maintained, one for batches that are processed through the optical reader and one for those batches that must be hand keypunched. Wage Sequential Update is the process to enter current quarter wage information and eventually load in the wage file on the mainframe.

RETENTION:

Retain for 3 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:

Paper: Retain in Office for 3 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).
Retention is based on three year Federal audit requirements.

AGENCY: Department of Workforce Services. Unemployment Contributions Section

SERIES: 84276

TITLE: Wage sequential update batch book

(continued)

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2020.