

Retention and Classification Report

Agency: Dept. of Employment Security. Field Operations and Program Staff Services
Section. Salt Lake Metropolitan Office. (1496)
720 South 200 East
Salt Lake City, UT 84111
801-536-7121

Records Officer: _____

83819	*Applicant counseling files
14744	*Benefits earning record interface worksheet records
84118	*Claims adjudication case files
20838	*Client case files
83823	*Food stamp workshop file
84117	*Interstate claim forms
83824	*Job Training Partnership Act (JTPA) certified direct placeme
83830	*Job Training Partnership Act on-the-job training program bus
83828	*Management Information Services Job Training Partnership Act
83829	*Management Information Services Job Training Partnership Act
84170	*On-the-job training employer relations report
84025	*On-the-job training intake report
84171	*On-the-job training support services expenditure report
83826	*On-the-job-training contract files
84115	*On-the-job-training contract statistical file
83827	*On-the-job-training gasoline voucher file
83825	*On-the-job-training inactive client files
22868	*Personnel files
83854	*Refugee Unit initial registration form
83853	*Refugee Unit on-the-job-training contract log
83831	*Refugee unit client case files
84121	*Trade Act trade adjustment assistance job search allowance c
84120	*Trade Adjustment Act (TAA) and Trade Readjustment Act (TRA)
84122	*Trade adjustment assistance relocation case files
83856	*WIN gasoline voucher file
83822	*Win client card file
83818	*Work incentive (WIN) intake statistical file
83857	*Work incentive client bus token ledger
83821	*Work incentive client card file (short)
83820	*Work incentive client files

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83819

1

TITLE: Applicant counseling files

DATES: 1985.

ARRANGEMENT: Chronological, thereunder alphabetical by client surname

DESCRIPTION:

These files document counseling services provided at the request of an Employment Security applicant. They include Employment Plans which note background information consisting of education and training, work experience, testing data, and skills summary; circumstances and barriers to finding employment consisting of family, living arrangements, health, transportation, and barriers summary; and an employment plan consisting of long range goals, placement alternatives, responses to barriers (and dates), recommended Social Services options (plan and dates), and steps taken (and date) to accomplish plan. The file includes applicant name, address, social security number, and any other personal data as revealed by applicant either voluntarily or in response to questions by counselor depending on individual client circumstances. It may also contain a response to Form 505 asking when and if the client has secured employment (so the file can be closed). Files remain open and active until client completes plan, secures employment, or does not respond within a one month period to follow up Form 505.

RETENTION:

Retain for 1 year(s) after case is closed

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 after case is closed and then destroy.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83819

TITLE: Applicant counseling files

(continued)

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2019.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 14744

1

TITLE: Benefits earning record interface worksheet records

DATES: 1980.

ARRANGEMENT: Numerical by case or run number

DESCRIPTION:

These records document Beneficiary Earning Record (BEER) matches for the purpose of providing information to the Division of Family Support concerning wages, self employment and farm income accounts for clients receiving aid to families with dependent children and medicaid assistance. Information includes case number and name, client information, reports, employer name and address.

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 until microfilmed and then destroy provided microfilm has passed inspection.

Microfiche master: Retain in Office for 1 year or until superceded and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy.

Microfiche duplicate: Retain in Office for 3 years and then destroy.

APPRAISAL:

These records have administrative value(s).

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 14744

TITLE: Benefits earning record interface worksheet records

(continued)

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2019.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 84118

1

TITLE: Claims adjudication case files

DATES: 1989-2019.

ARRANGEMENT: Numerical by last four digits in the claimant social security number

DESCRIPTION:

These files document investigations and decisions rendered in determining initial eligibility for unemployment compensation for any reason other than layoff (e.g., quit, fired, medical, school, self-employment, receiving worker's compensation, etc.), or for continued eligibility issues such as failure to make job contacts, failure to report to interviews or employment offers, temporary or permanent inability to seek work due to travel, school, lack of dependent care, etc. The files contain applicable forms or correspondence deemed necessary to make eligibility determinations. This is a working file, not a permanent file, and when the eligibility issued is resolved, all paperwork generated becomes part of the Claimant Benefit Record (Series 83610).

RETENTION:

Retain for 2 month(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 month or until eligibility issue is resolved and then microfilm and file in Claimant Benefit Record, Series 83610.

Paper copy: Retain in Office for 2 months and then destroy.

APPRAISAL:

These records have administrative, fiscal, and/or legal value(s). This retention is based on the administrative needs expressed by the office. This working file becomes part of the Claimant Benefit Record (Series 83610) which is maintained 5 years after it has been microfilmed.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 84118

TITLE: Claims adjudication case files

(continued)

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2019.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 20838

3

TITLE: Client case files

DATES: 1990-2019.

ARRANGEMENT: Alphabetical by surname.

DESCRIPTION:

These are complete case histories of clients receiving services provided by or through the Department of Workforce Services.

RETENTION:

Retain for 5 year(s) after case is closed

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Client case files, GRS-2568.

AUTHORIZED: 06-12-2019

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year after case closes and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

APPRAISAL:

These records have administrative, fiscal, and/or legal value(s).
These are complete case histories of clients receiving services provided initially by or through a Family Support office (OFS), now provided by the Dept. of Workforce Services.

PRIMARY DESIGNATION:

Private

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 20838

TITLE: Client case files

(continued)

SECONDARY DESIGNATION(S):

Controlled. UCA 63G-2-304 (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 07/2019.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83823

1

TITLE: Food stamp workshop file

DATES: 1988.

ARRANGEMENT: Chronological

DESCRIPTION:

This file documents the activities of the Food Stamp Workshops conducted by Employment Security. The Food Stamp Workshop is a job search workshop conducted by Employment Security staff strictly for Food Stamp recipients. The workshop consists of ten three hour sessions (9-12 a.m.). It is funded by Social Services in an effort to encourage and assist Food Stamp recipients to seek employment. It includes sign-up sheets noting registration date and names, addresses, and social security numbers of recipients who attended the workshop sessions. This documentation is required in order to request program reimbursement from Social Services, first for a petty cash fund used to pay recipients for attendance, i.e., attendees receive \$2.00 for each of the ten days of workshop attendance and a \$3.00 bonus on the last day if they complete the workshop as required (attendance and appropriate participation). Secondly, the documentation is used to reimburse Employment Security for staff and facilities used to provide the workshops. Employment Security receives \$50 for each Food Stamp recipient who completes the course up to \$1,000 per month, but not less than \$800 per month.

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).

This disposition is based upon Georgia State Retention Schedule #D-88-1 and the administrative needs expressed by the agency.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83823

TITLE: Food stamp workshop file

(continued)

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2019.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 84117

1

TITLE: Interstate claim forms

DATES: 1988.

ARRANGEMENT: numerical by last four digits in social security number

DESCRIPTION:

This record documents initial filing of an interstate unemployment insurance claim. An interstate claim is one in which the claimant earned benefit wages in one state (liable state), but because of a change in residence is filing in another state (agent state). The agent state initiates the paperwork and issues the first three manual claim cards, IB-2's, as part of a reciprocal program between states. Information from the initial claim form is entered into Internet, an interstate on-line data system which relays claim information to the liable state in order to implement the payment process and issue subsequent computer-generated claim cards. The liable state will take responsibility for any further claims issues, except the reopening of a previous interstate claim which will again be handled by the agent state. This record contains copies of the IB-1, Initial Interstate Claim Form; IB-10, Interstate Eligibility Review Form; IB-3 and IB-11-s, Separation Notices; and IB-11, Fact Finding Report.

RETENTION:

Retain for 15 month(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 15 months after initial registration and then destroy.

APPRAISAL:

These records have administrative, fiscal, and/or legal value(s). Retention is based on administrative need, i.e., the copy is maintained for reference as well as for subsequent claimant requests for service within 52 weeks of initial contact, e.g. reopening of a claim after additional work or a break in filing.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 84117

TITLE: Interstate claim forms

(continued)

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2019.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83824

1

TITLE: Job Training Partnership Act (JTPA) certified direct placement files

DATES: 1985-2019.

ARRANGEMENT: Alphabetical by client surname.

DESCRIPTION:

These files document applicants who, though certified as eligible for on-the-job (OJT) contracts under the JTPA program, were not hired "direct" for one of various reasons; e.g. employer did not want OJT contract, client found job on his/her own, etc. These files contain JTPA eligibility certification from the Salt Lake County JTPA office as well as any other forms or correspondence compiled regarding the applicant such as an Employment Plan, job referrals, etc.

RETENTION:

Retain for 3 year(s) after case is closed

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 after case is closed and then destroy.

APPRAISAL:

These records have administrative, fiscal, and/or legal value(s).
Retention is based on 20 CFR 629.35 (e) 1990

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 07/2019.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83830

3

TITLE: Job Training Partnership Act on-the-job training program bus token ledger

DATES: 1988-2020.

ARRANGEMENT: Chronological by month, thereunder alphabetical by client name.

DESCRIPTION:

This file documents the distribution of bus tokens to Job Training Partnership Act certified clients participating in the Employability Development Center's On-the-Job Training program. It includes client name and social security number, distribution date, and how many tokens were disbursed.

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 and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).
Retention is based on 20 CFR 629.35 (e)

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2020.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83829

1

TITLE: Management Information Services Job Training Partnership Act on-the-job training validation report

DATES: 1986-2019.

ARRANGEMENT: Chronological.

DESCRIPTION:

This file contains Validation Reports, Form 0149B, used to note discrepancies (one validation report for each functional code) between Salt Lake County's Job Training Partnership Act's (JTPA) Management Information Services (MIS) report provided by JTPA and actual program data for the report period incurred by the Employability Development Center's (EDC) On-the-Job-Training (OJT) program. Variances, along with any clarifying comments are noted under the following summary categories (that also occur on the MIS report summaries per functional code): active on board; placements employed; competencies; transfers; positive terms; youth enhancement only; other terminations; holds or inactives; and completions (non-adds). This form is prepared only in conjunction with an MIS report, i.e., only for a reporting period coinciding with an MIS report.

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).
Retention is based on 20 CFR 629.35 (3).

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83829

TITLE: Management Information Services Job Training Partnership Act on-the-job training validation report

(continued)

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 07/2019.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83828

1

TITLE: Management Information Services Job Training Partnership Act on-the-job-training report file

DATES: 1986.

ARRANGEMENT: chronological

DESCRIPTION:

This is a computer generated paper report based on the Employability Development Center's (EDC) On-the-Job-Training (OJT) Unit statistical data. The Salt Lake County Job Training Partnership Act's (JTPA) Management Information Services (MIS) provides OJT with a copy of the report which is used by the OJT office for reconciliation of reported data. The report is usually, but not always, produced monthly, and is broken down by functional codes and thereunder by client name. Different functional codes (depending on JTPA program emphasis) are established at the beginning of the fiscal year. The 1989 fiscal year functional codes include: adult OJT; adult hard to serve; youth; youth hard to serve; older worker (not 3%); older worker (not 3%) hard to serve; 3% older worker; formula (dislocated worker); single head of household; and direct placements which include adults, youth, older worker 3%, and formula. Discrepancies to the report are noted on validation sheets (one for each functional code).

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).
Retention is based on 20 CFR 629.35 (3).

PRIMARY DESIGNATION:

Private

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 84170

1

TITLE: On-the-job training employer relations report

DATES: 1989-1990.

ARRANGEMENT: Chronological

DESCRIPTION:

This is a monthly computer generated paper report produced by the On-the-Job Training Statistical File documenting employers contacted during a one month period by job developers in the OJT section. It is used to compile statistical reports for the Salt Lake County Job Training Partnership Act office and was developed on a trial basis

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 month or until JTPA report is completed and then destroy.

APPRAISAL:

These records have administrative value(s).
Retention is based on administrative need

PRIMARY DESIGNATION:

Private

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 84025

1

TITLE: On-the-job training intake report

DATES: 1989-2019.

ARRANGEMENT: Chronological.

DESCRIPTION:

This is a monthly computer generated paper report produced by the On-the-Job Training Contract Statistical File, Record Series 83826. It contains statistical data regarding intake (registration) information from the On-the-Job Contract Files, and is used to compile reports sent to the Salt Lake County Job Training Partnership Act office.

RETENTION:

Retain for 1 month(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 month or until JTPA reports are completed and then destroy.

APPRAISAL:

These records have administrative value(s).
Retention is based on administrative need

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 07/2019.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 84171

1

TITLE: On-the-job training support services expenditure report

DATES: 1989-2019.

ARRANGEMENT: Chronological.

DESCRIPTION:

This is a monthly computer generated paper report produced by the On-the-Job Training Statistical File documenting monthly supportive services expenditures (clothing, tools, etc. needed by an OJT client to perform his contracted position). It is used as an administrative tool by the OJT Director, e.g. review monthly supportive services expenditures for budget purposes, etc.

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 month or until administrative need ends and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s). Retention is based on administrative need. The On the Job Training Director uses this information as an administrative tool to review monthly expenditures.

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 07/2019.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83826

3

TITLE: On-the-job-training contract files

DATES: 1985-2020.

ARRANGEMENT: Alphabetical by client surname.

DESCRIPTION:

The Employability Development Center's (EDC) On-the-Job Training (OJT) Unit subcontracts with the Salt Lake County Job Training Partnership Act (JTPA) program to provide OJT placement services for JTPA certified clients. This means securing contracts that reimburse interested and willing employers at 50% of the negotiated client/employee hourly wage for up to 500 hours. Funding for this reimbursement is provided by both the county JTPA office and the State of Utah. This file contains all documents pertaining to OJT such as the employer name, address, and Employment Security identification number, the Employment and Training Agreement (JTPA/WIN form #1), and the Occupational and Supportive Services form documenting any tools, clothing, supplies, equipment, etc. needed for the client to perform the job and reimbursable under the OJT program, a copy of the job order from the employer; a progress sheet showing activities both before and after the contract such as referrals, progress notations by the job developer, and feedback from the contract employer; monthly invoices; and any other correspondence or paperwork pertaining to the contract and/or the expenditures incurred during the contract period. In addition, the contents of the OJT files include the JTPA certification, employment plan, Employment Security registration form (511) computer transcript printout, etc. Until June 30, 1988 there were separate contract files for both clients and employers. Contract files created or closed after July 1, 1988 are combined client and employer records.

RETENTION:

Retain for 7 year(s) after expiration of contractual agreement

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Contract and lease records, GRS-1731.

AUTHORIZED: 07-30-2019

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83826

TITLE: On-the-job-training contract files

(continued)

FORMAT MANAGEMENT:

Paper: Retain in Office for 7 years after contract ending date and then destroy.

APPRAISAL:

These records have administrative, fiscal, and/or legal value(s). Retention is based on 20 CFR 629.35 (e).

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2020.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 84115

1

TITLE: On-the-job-training contract statistical file

DATES: 1987-2019.

ARRANGEMENT: Chronological.

DESCRIPTION:

This is a computer data file containing information taken from the On-the-Job Training (OJT) Contract Files, Record Series 83826. This information is then used to produce monthly summary reports facilitating compilation of statistical reports required by the Salt Lake County JTPA. Summary reports produced include: OJT Pending Contract Report; OJT Employer Relations Report; OJT Supportive Services Expenditure Report; OJT Intake Report; and OJT Contract Report.

RETENTION:

Retain for 2 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

FORMAT MANAGEMENT:

Computer data files: Retain in Office for 2 years or until superseded or updated and then erase.

APPRAISAL:

These records have administrative, and/or fiscal value(s).
Retention is based on administrative need.

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 07/2019.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83827

1

TITLE: On-the-job-training gasoline voucher file

DATES: 1988-2019.

ARRANGEMENT: Chronological.

DESCRIPTION:

This file contains On-the-Job Training (OJT) client vouchers/receipts for gasoline purchases from the Employability Development Center's (EDC) authorized vendor (Wayne's Texaco) and the vendor reimbursement requests submitted to Employment Security's fiscal office by EDC.

RETENTION:

Retain for 3 month(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 months and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s). Retention is based on administrative need. The three year retention requirement outlined in 20 CFR 629.35 (3) regarding JTPA financial records is met by the inclusion of copies of the gasoline vouchers in the client case files.

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 07/2019.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83825

1

TITLE: On-the-job-training inactive client files

DATES: 1985-2019.

ARRANGEMENT: Alphabetical by client surname.

DESCRIPTION:

This file documents the registration of Job Training Partnership Act (JTPA) certified applicants with (Employability Development Center) EDC's On-the-Job-Training (OJT) Unit and the assignment of an Employment Security staff job developer to those individuals. It includes the JTPA certification, an Employment Plan (a plan to secure employment based on individual needs and barriers, e.g., lack of transportation, specific hours, alcohol or drug addiction, etc.), and any other correspondence or paperwork pertaining to that individual's placement search such as a copy of the computer transcript printout of their Employment Security registration form (511). This file is closed if certification expires (and the individual does not obtain recertification) or the client does not follow up with the assigned job developer as necessary. If a contract is secured for an OJT client, this file becomes part of the OJT Client Contract files.

RETENTION:

Retain for 3 year(s) after case is closed

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 after file is closed and then destroy.

APPRAISAL:

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

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83825

TITLE: On-the-job-training inactive client files

(continued)

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 07/2019.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 22868

3

TITLE: Personnel files

DATES: 1997-2019.

ARRANGEMENT: Alphabetical by surname.

DESCRIPTION:

Complete work history of individual while employed by the State. Refer to UCA 67-18-1, et seq. and DHRM standards on accessing, maintaining, and managing employee personnel files. When an employee transfers to another state agency, the official personnel file must be sent to the new agency. The file should include current information on performance evaluations, performance plans, position description, career mobility agreement, insurance benefits notification (ADNT-1), job swap agreement, and overtime agreement where applicable. Also contains application for employment, employees' social security card (copy), Notice of personnel action (DHRM 33), Human resource profile/events (DHRM 34), Termination form (DHRM 35), Employment eligibility verification form, Exit interview form, New employee orientation self-guide, and retirement/deferred compensation plan notification (ADNT-2). May contain documentation on employee withholding, completion of course certificates, conflict of interest letters, incentive award results, letters of commendation, leave records, health records, and leave adjustment reports.

RETENTION:

Retain for 65 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Employment history records, GRS-1965.

AUTHORIZED: 08-29-2018

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 64 years and then destroy.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 22868

TITLE: Personnel files

(continued)

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Private Utah Code 63G-2-302 (1)(e) (2008)

SECONDARY DESIGNATION(S):

Public. Utah Code 63G-2-301 (1)(b) (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 12/2019.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83854

1

TITLE: Refugee Unit initial registration form

DATES: 1986.

ARRANGEMENT: chronological

DESCRIPTION:

This is a log used to document Refugee Unit initial client registration. It includes client's name, social security number (or pseudo number if client does not yet have a social security number), sex, educational level, number of dependents, date of birth, age, whether this is the primary settlement area (first area settled after entry into United States) or secondary settlement area, e.g., client first moved to California and then to Utah), date of entry into United States, whether applicant is receiving refugee cash assistance or AFDC (refugees are eligible for 12 months of refugee cash assistance during the first 18 months after their arrival in the United States), etc. This log is also used to complete statistical reporting forms as required by the Federal government.

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 transfer to State Archives with authority to weed provided audits are completed.

APPRAISAL:

These records have administrative, fiscal, and/or historical value(s).
These records have historical value for research purposes; retention is therefore permanent after three year Federal audit requirement retention is met.

PRIMARY DESIGNATION:

Private

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83853

1

TITLE: Refugee Unit on-the-job-training contract log

DATES: 1986.

ARRANGEMENT: chronological

DESCRIPTION:

This is a log used to record on-the-job training (OJT) contracts secured by the Employability Development Center's (EDC) Refugee Unit. It includes the applicant name and social security number; employer name, contract and IRS numbers; and the contract start date. Any paperwork pertaining to that contract is included in the Refugee Unit Case Files; this log is used to complete statistical reports required by the Federal government.

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 value(s).
Retention is based on three year Federal audit requirements.

PRIMARY DESIGNATION:

Private

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83831

1

TITLE: Refugee unit client case files

DATES: 1986.

ARRANGEMENT: alphabetical by client surname

DESCRIPTION:

This file documents client registration and placement services received from the Employability Development Center's Refugee Unit. It includes such items as 511 registration form copy, client background information, personal data sheet or employability plan, progress sheet (525B form), contract information if client receives on-the-job training contract placement, referrals, and any other placement related correspondence. This file must, however, include a copy of Immigration and Naturalization Service's I-94 form documenting refugee status, a Federal requirement for Refugee Services programs.

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 after case is closed and then destroy provided audits are completed and no disputes are pending.

APPRAISAL:

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

PRIMARY DESIGNATION:

Private

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 84121

3

TITLE: Trade Act trade adjustment assistance job search allowance case files

DATES: 1981-2020.

ARRANGEMENT: Alphabetical by client surname.

DESCRIPTION:

This record documents eligibility and reimbursements for out-of-the-area job searches. This benefit is available to individuals laid off by employers certified by the U. S. Department of Labor as having been adversely affected by imports, as stipulated by the Trade Act of 1974. These searches are limited to a maximum reimbursement of \$800. Eligibility is dependent upon an individual's making application within 365 days of the employer's Trade Adjustment Assistance certification or within 365 days of separation from an employer so certified.

RETENTION:

Retain for 3 year(s) after final action

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Reimbursement files, GRS-1833.

AUTHORIZED: 01-11-2019

FORMAT MANAGEMENT:

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

APPRAISAL:

These records have administrative, and/or fiscal value(s). Retention is based on Federal MA Handbook, No. 315, Part C. Many inactive files remain open because the \$800 maximum job search allowance has not yet been exhausted.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 84121

TITLE: Trade Act trade adjustment assistance job search allowance case files

(continued)

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2020.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 84120

1

TITLE: Trade Adjustment Act (TAA) and Trade Readjustment Act (TRA) client files

DATES: 1981-2019.

ARRANGEMENT: Alphabetical by surname.

DESCRIPTION:

These records document eligibility and disbursement of funds for individuals enrolled in a retraining program under the Trade Adjustment Act as provided by 20 CFR 617 Subpart A (1998). The TAA and TRA programs provide services and allowances to assist adversely affected workers achieve reemployment. Includes: Request by worker for entitlement to allowances while in training (ES-858); authorization forms; request for Trade Act benefits; copies of grade reports, request for extension of training; progress sheets; financial amount authorized for training expenses; receipts for expenses, correspondence; disbursement of funds; and other related material.

RETENTION:

Retain for 5 year(s) after case is closed

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 after case closes and then transfer to State Records Center. Retain in State Records Center for 2 years and then destroy.

APPRAISAL:

These records have administrative, fiscal, and/or legal value(s). This disposition is based on the agency's administrative need to fulfill its requirements under the Trade Adjustment Act as pursuant to 20 CFR 617 (1998).

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 84120

TITLE: Trade Adjustment Act (TAA) and Trade Readjustment Act (TRA) client files

(continued)

PRIMARY DESIGNATION:

Private UCA 63G-2-302 (1)(a) (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 07/2019.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 84122

3

TITLE: Trade adjustment assistance relocation case files

DATES: 1981-2020.

ARRANGEMENT: Alphabetical by client surname.

DESCRIPTION:

This record documents eligibility and disbursement of funds for individuals receiving 90% relocation allowances. These benefits are available to individuals laid off by an employer certified by the U. S. Department of Labor as having been adversely affected by imports, as stipulated under the Trade Act of 1974. To be eligible, an individual must have a firm job offer in the relocation area, and must make application for relocation allowance benefits prior to the move, and within 425 days of the employer's certification or within 182 days of completion of trade adjustment allowance retraining. This file also includes copies of three bids covering relocation expenses, and verifications, made both before and after the move, that a job is available for the individual in the relocation area.

RETENTION:

Retain for 3 year(s) after final action

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 04/1989

FORMAT MANAGEMENT:

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

APPRAISAL:

These records have administrative, and/or fiscal value(s).
Retention is based on Federal MA Handbook, No. 315, Part C.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 84122

TITLE: Trade adjustment assistance relocation case files

(continued)

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2020.

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83856

3

TITLE: WIN gasoline voucher file

DATES: 1972-1988.

ARRANGEMENT: Chronological

DESCRIPTION:

This file contains WIN client vouchers/receipts for gasoline purchases from the Employability Development Center's (EDC) authorized vendor (Wayne's Texaco), and the vendor reimbursement requests submitted to Employment Security's fiscal office by EDC.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Reimbursement files, GRS-1833.

AUTHORIZED: 01-11-2019

FORMAT MANAGEMENT:

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

APPRAISAL:

These records have administrative, and/or fiscal value(s). Retention is based on administrative need. The three year retention requirement of WIN financial records in 29 CFR 56.17 (a) is met by the copies of the gas vouchers retained in the client case files.

PRIMARY DESIGNATION:

Private

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83822

1

TITLE: Win client card file

DATES: 1972-1988.

ARRANGEMENT: Alphabetical by client surname

DESCRIPTION:

This file contains WIN client name, social security number, address, phone number, case status, social services referral team number, sex, birthdate, mandatory or voluntary referral status, date enrolled, and training component. This file is used instead of searching for a client file when the data contained on this card is sufficient, e.g. a phone number, address, date of registration, etc. This information is also entered into a computer data base for even faster retrieval, but the paper file is retained for backup in case of computer down time or for after the computer file has been purged.

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 after case is closed and then destroy.

Computer data files: Retain in Office for 2 years and then purge.

APPRAISAL:

These records have administrative value(s).

Retention is based on administrative need, and, in the case of the paper format, is consistent with the three year retention of WIN client case files.

PRIMARY DESIGNATION:

Private

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83818

1

TITLE: Work incentive (WIN) intake statistical file

DATES: 1972-1988.

ARRANGEMENT: Chronological

DESCRIPTION:

This is a statistical record of WIN enrollments at Employment Security's Salt Lake Operations Employability Development Center (EDC) for the month. It includes the WIN 411 form showing name of applicant, social security number, whether the enrollment was voluntary or mandatory, the Social Services team number (who referred applicant to Employment Security), the registration date, whether it was a new applicant or a re-entry into the program, and the WIN worker assigned to the applicant. This form is used to compile the monthly statistical report showing total number of applicants who applied, and total number of voluntary and mandatory applicants.

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 destroy.

APPRAISAL:

These records have administrative value(s).
Retention is based on administrative need.

PRIMARY DESIGNATION:

Private

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83857

3

TITLE: Work incentive client bus token ledger

DATES: 1972-1988.

ARRANGEMENT: Chronological, thereunder alphabetical by client name

DESCRIPTION:

This file is used to document the distribution of bus tokens to WIN clients. It includes client name, social security number, distribution date, and tokens disbursed.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Reimbursement files, GRS-1833.

AUTHORIZED: 01-11-2019

FORMAT MANAGEMENT:

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

APPRAISAL:

These records have administrative, and/or fiscal value(s).
This disposition is based on administrative need and Retention is based on 29 CFR 56.17 (a)

PRIMARY DESIGNATION:

Private

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83821

1

TITLE: Work incentive client card file (short)

DATES: 1972-1988.

ARRANGEMENT: Numerical by last four digits in social security number

DESCRIPTION:

This is a card file containing only the name, social security number, and status of an applicant. When an applicant registers for the WIN program in the Employability Development Center office, this file is checked first in order to see if the applicant had been registered for the WIN program during the past three years. If the applicant is found in this small card file, then either the larger card file or the closed files are searched for additional information regarding the individual's previous case file.

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 after case is closed and then destroy.

APPRAISAL:

These records have administrative value(s).
Retention is based on administrative need and is consistent with three year retention of closed WIN client case files.

PRIMARY DESIGNATION:

Private

AGENCY: Department of Workforce Services. Salt Lake Metro Employment Center

SERIES: 83820

1

TITLE: Work incentive client files

DATES: 1972-1988.

ARRANGEMENT: Alphabetical by client surname

DESCRIPTION:

This file documents and tracks WIN client registration into the WIN program and the services received while the case is open. It includes the WIN certification (form 465) from the Department of Social Services, Status Change Forms (MA597), a Department of Social Services Self Sufficiency Plan, Employment Plan (525A), Progress sheet (525B), and an Employment Security Placement Registration Transcript (computer printout), and any other correspondence or documentation pertaining to WIN client services provided by Employment Security.

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 after case is closed and then destroy provided audits are completed and no litigation is pending.

APPRAISAL:

These records have administrative, and/or fiscal value(s).
Retention is based on 29 CFR 56.17 (a)

PRIMARY DESIGNATION:

Private