

## Retention and Classification Report

**Agency:** Department of Workforce Services.\$bCentral Region Administration (1886)

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**Records Officer:** \_\_\_\_\_

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**AGENCY:** Department of Workforce Services. Wasatch Front South Region

**SERIES:** 24974

3

**TITLE:** DWS, Central Region Investigations

**DATES:** 2001-2012.

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

These are investigation files pertaining to eligibility and or fraud of public assistance funds, medical benefits and food stamps. Most files contain private information: address information, credit, birth records, drivers license, income and banking information, property ownership, employment documents, subpoenas and personal medical information. Files are used to support collection of overpayments and court proceedings. Data contained in these files includes, but is not limited to: addresses, age or date of birth, alcohol/drug addiction info., birthplace, bank account info., court actions, credit ratings, criminal histories, driver license numbers, employment histories, financial info., family info., food purchases/stamps, property ownership, living conditions info., marital status, health info., welfare and government subsidy info., social security numbers, tax info., and victim info.

**RETENTION:**

Retain for 7 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 05/2003

**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.

**AGENCY:** Department of Workforce Services. Wasatch Front South Region

**SERIES:** 24974

**TITLE:** DWS, Central Region Investigations

(continued)

**APPRAISAL:**

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

**PRIMARY DESIGNATION:**

Private

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 08/2015.

**AGENCY:** Department of Workforce Services. Wasatch Front South Region

**SERIES:** 9811

3

**TITLE:** Family support client case files

**DATES:** 1979-2012.

**ARRANGEMENT:** Alphabetical by client surname

**DESCRIPTION:**

These case files document the complete case history of clients receiving services provided in or through a Family Support office (OFS). Programs are funded by the Department of Human Services and/or local discretionary funds. These case files include but are not limited to the following types of Eligibility and Determination Forms: Application and Affidavit for Assistance and Food Stamps, Home Energy Assistance Target (HEAT), Reapplication for Assistance and Food Stamps, Application for Financial, Medical, and/or Food Stamps, Application for Social Services, Notice of Decision (income report), and Client Admission/Level of Care Determination. Also copies of birth certificates, social security cards, car registrations and titles, divorce decrees and other court documents, medical reports, and certification of tribal membership are included in the case files. Payment forms, which include Payee/Case Data Information, Transmittal of Collections, Medical Grant Overpayment, Coupon Books Lost in the Mail, Forged Check Affidavits, and the following miscellaneous documents are included in the case files: random moment sample surveys, case activity logs, court orders, lien agreements, and guardianship orders.

**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:** 07/1990

**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.

**AGENCY:** Department of Workforce Services. Wasatch Front South Region

**SERIES:** 9811

**TITLE:** Family support client case files

(continued)

**APPRAISAL:**

These records have administrative value(s).

All documents filed with the court are a matter of public record and can be obtained from the courts.

**PRIMARY DESIGNATION:**

Private

**SECONDARY DESIGNATION(S):**

Controlled

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 08/2015.

**AGENCY:** Department of Workforce Services. Wasatch Front South Region

**SERIES:** 25332

3

**TITLE:** Financial Information Network (FI-NET) medical payment records

**DATES:** ca. 1979-2012.

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

Records processed through the state accounting system that document the expenditure of cash and the appropriate supporting information. Includes payment invoices, purchasing records, and travel reimbursements. Also includes as Form 22 which clients give to their physicians to complete when they receive evaluations or tests. The form is then returned to the agency where it is compared to a pay scale and complete or partial payment is authorized through the FI-NET system. Information on this form includes name of client, case number, Social Security number, physician name, physician contact information and physician signature.

**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 after end of fiscal year in which they were initiated and then transfer to State Records Center. Retain in State Records Center for 6 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 08/2015.

**AGENCY:** Department of Workforce Services. Wasatch Front South Region

**SERIES:** 25331

3

**TITLE:** Financial Information Network (FI-NET) non-payment records

**DATES:** ca. 1979-2012.

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

Records that document receipt of cash or transfers between state agencies in the state accounting system, and other relevant information. Includes cash receipts (CR), inter-agency transactions (IAT), and revenue (IN) transactions.

**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 1 year after the end of the year in which they were initiated and then transfer to State Records Center. Retain in State Records Center 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 08/2015.

**AGENCY:** Department of Workforce Services. Wasatch Front South Region

**SERIES:** 25330

3

**TITLE:** Financial Information network (FI-NET) payment records

**DATES:** ca. 1979-2012.

**ARRANGEMENT:** Chronological.

**DESCRIPTION:**

Records processed through the state accounting system that document the expenditure of cash and the appropriate supporting information. Includes payment invoices, purchasing records, and travel reimbursements.

**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 after end of fiscal year in which they were initiated and then transfer to State Records Center. Retain in State Records Center for 6 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 05/2017.



**AGENCY:** Department of Workforce Services. Wasatch Front South Region

**SERIES:** 13933

3

**TITLE:** Food stamp reconciliation records

**DATES:** 1992-2012.

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

These are files that show the distribution of food stamps to eligible clients. Clients must pass a needs test and meet income standards set by both the federal government and State of Utah.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Food stamp case files, GRS-2574.

**AUTHORIZED:** 06-12-2019

**FORMAT MANAGEMENT:**

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

**APPRAISAL:**

These records have administrative, fiscal, and/or legal value(s).  
These are files that show the distribution of food stamps to eligible clients. Clients must pass a needs test and meet income standards set by both the federal government and State of Utah.

**PRIMARY DESIGNATION:**

Private UCA 63G-2-205

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 06/2015.

**AGENCY:** Department of Workforce Services. Wasatch Front South Region

**SERIES:** 22662

1

**TITLE:** Job Training and Partnership Act client files

**DATES:** 1997-2012.

**ARRANGEMENT:** Alphabetical by surname.

**DESCRIPTION:**

These files document participation in the Job Training and Partnership Act program, administered under 20 CFR 626. This federal and state partnership program provides job training services for economically disadvantaged adults and youth, dislocated workers and others who face significant employment barriers. The information is collected to determine eligibility of the applicant. Information includes: educational and training records; a copy of the applicant's birth certificate; a copy of the applicant's driver's license; social security number; financial records; and information regarding the applicant's household.

**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 value(s).

**PRIMARY DESIGNATION:**

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

**AGENCY:** Department of Workforce Services. Wasatch Front South Region

**SERIES:** 25333

1

**TITLE:** Notary bond records

**DATES:** ca. 1979-2014.

**ARRANGEMENT:** Alphabetical by notary last name

**DESCRIPTION:**

Posted by notaries public conditioned for the faithful performance of duties.

**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 after expiration and then destroy.

**APPRAISAL:**

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

**PRIMARY DESIGNATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 01/2015.

**AGENCY:** Department of Workforce Services. Wasatch Front South Region

**SERIES:** 12428

3

**TITLE:** Personnel files for permanent employees

**DATES:** 1970-2012.

**ARRANGEMENT:** Alphabetical by employee surname.

**DESCRIPTION:**

Complete work history of individual while employed by the State. Refer to UCA 67-18-1, et seq. When an employee transfers to another state agency, the official personnel file must be sent to the new agency. 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 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 3 years after separation or retirement and then transfer to State Records Center. Retain in State Records Center for 62 years and then destroy.

**APPRAISAL:**

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

These records contain the complete work history of an individual (excluding medical/psychological information) while employed by the state and have legal value as they serve as documentation to verify employment and/or eligibility for benefits for the employee or for any heirs as a result of such employment.

**AGENCY:** Department of Workforce Services. Wasatch Front South Region

**SERIES:** 12428

**TITLE:** Personnel files for permanent employees

(continued)

**PRIMARY DESIGNATION:**

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

**SECONDARY DESIGNATION(S):**

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

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 05/2017.

**AGENCY:** Department of Workforce Services. Wasatch Front South Region

**SERIES:** 11584

3

**TITLE:** Refugee case files

**DATES:** 1987-1996.

**ARRANGEMENT:** Alphabetical by surname

**DESCRIPTION:**

These are complete case histories of clients receiving services provided by or through a Family Support office (OFS). Programs are funded by the Department of Human Services and/or local discretionary funds.

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

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Private

**SECONDARY DESIGNATION(S):**

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

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 08/2015.

**AGENCY:** Department of Workforce Services. Wasatch Front South Region

**SERIES:** 10153

3

**TITLE:** Self-sufficiency/child care eligibility case files

**DATES:** 1980-2012.

**ARRANGEMENT:** Alphabetical by client surname

**DESCRIPTION:**

These files are created and used to document the monitoring of Family Support client cases and their progress. These records also document the self sufficiency and income eligible child care programs. The purpose of these programs is to assist clients gain employment and not require public assistance programs. Child care may be provided as part of these and as such, these records become part of the case files. These programs act as a temporary support system for individuals who are employable but without adequate financial resources. The State assists recipients in this endeavor through a system of counseling, information sharing, advocacy and the provision of support services. In addition, the state coordinates these programs with the Job Training Coordinating Council, the Department of Education, and other public and private social service agencies dealing with families with dependent children. CFR 206-1-10 (1990), specifies a state must follow for the application, determination of eligibility and furnishing of public assistance for persons involved in these programs. Included in the self sufficiency and day care case files are the narrative description of the cases, histories of payment information, documentation of day care authorizations, lists of client plans and objectives, quarterly update reports, and lists of activity codes and their components. In addition, there is information on sanctions taken by Family Support against clients, documentation on target populations, and support services offered to clients.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Self sufficiency/child care eligibility case files, GRS-2572.

**AUTHORIZED:** 06-12-2019

**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.

**AGENCY:** Department of Workforce Services. Wasatch Front South Region

**SERIES:** 10153

**TITLE:** Self-sufficiency/child care eligibility case files

(continued)

**APPRAISAL:**

These records have administrative value(s).

This disposition is based on Utah State General Records Retention Schedule, Schedule 5, Item 5.

**PRIMARY DESIGNATION:**

Private

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 08/2015.



**AGENCY:** Department of Workforce Services. Wasatch Front South Region

**SERIES:** 25334

3

**TITLE:** Telephone bills

**DATES:** ca. 1979-2019.

**ARRANGEMENT:** Chronological.

**DESCRIPTION:**

These records are phone bills received and remitted by the agency.

**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 administrative, and/or fiscal value(s).

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 12/2019.

**AGENCY:** Department of Workforce Services. Wasatch Front South Region

**SERIES:** 22663

1

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

**DATES:** 1997-2012.

**ARRANGEMENT:** Alphabetical by surname

**DESCRIPTION:**

These files contain the records of individuals who are eligible for extended unemployment insurance benefits and training benefits under the Trade Adjustment Act (TAA) or the Trade Readjustment Act (TRA). The Trade Adjustment Act created a program to assist individuals, who became unemployed as a result of increased imports, return to suitable employment. The TAA program provides services and allowances to assist adversely affected workers achieve reemployment. The TRA program provides a weekly allowance payable to adversely affected workers. Information includes a request for determination of entitlement, correspondence, documentation of training received and expenses involved with that training, job search allowances and relocation allowances.

**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 value(s).

This disposition is based on the agency's administrative need to fulfill its requirements under the Trade Adjustment Act and the Trade Readjustment Act of 1974, Amended 1981 as pursuant to 20 CFR 617 (1998).

**PRIMARY DESIGNATION:**

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

**AGENCY:** Department of Workforce Services. Wasatch Front South Region

**SERIES:** 25335

1

**TITLE:** Turning Point program case files

**DATES:** 1990-1997.

**ARRANGEMENT:** Alphabetical by participant's last name

**TOTAL VOLUME:** 4.00 cubic feet.

**DESCRIPTION:**

These files document eligibility of clients for training or support services under this state-funded program. Eligibility for training or other services provided by this program required that the client be a member of a special target group that included single parents, single pregnant women, or displaced homemakers. Information includes client name, age, address, educational history, employment information, medical information, family information, Social Security number telephone number, 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 year after file becomes inactive and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

**APPRAISAL:**

These records have administrative value(s).

**AGENCY:** Department of Workforce Services. Wasatch Front South Region

**SERIES:** 27196

3

**TITLE:** Worksite Learning program client files

**DATES:** 2004-2012.

**ARRANGEMENT:** Chronological by date signed, thereunder alphabetical by client name.

**DESCRIPTION:**

This series contains contract agreements between clients and the department, documenting client participation in the Worksite Learning program (WSL). The program is designed to assist Utah residents increase their occupational skills in order to obtain or maintain meaningful employment. Files document client progress and include client names, Social Security numbers, and contract agreements signed by employers and clients.

**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: For records beginning in 2004 through 2007. Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

Paper: For records beginning in 2007 and continuing to the present. Retain in Office until imaged and then destroy.

Digital image: For records beginning in 2007 and continuing to the present. Retain in Office for 7 years and then delete.

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 05/2016.