

DEPARTMENT OF GENERAL SERVICES
Records Management Division

SCHEDULE
NO. 991-3

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RECORDS RETENTION AND DISPOSAL SCHEDULE

DEPARTMENT OF EMPLOYMENT & TRAINING

JOB TRAINING & PLACEMENT ADMINISTRATION

AGENCY

DIVISION

Item No.	Description	Retention
1	<p><u>Assistant Secretary's Administrative Correspondence</u></p> <p>Subject arrangement of original incoming U.S. Dept. of Labor Letters, Regional Field Instructions, Regulations, legislative reference material, special surveys, reports and instructions related to operation and function of the Job Training and Placement Administration.</p>	<p>U.S. DOL Letters, Regional Field Instructions and Regulations retained until obsoleted or revised. All other materials relating to planning and policy that illustrate development of the Job Training and Placement Administration, retain permanently for eventual transfer to Hall of Records.</p>
<u>JOB TRAINING & PLACEMENT OFFICE</u>		
2	<p><u>Training and Employment Office Records</u></p> <p>Contained in this record are all communications, correspondence and materials relating to the operations of the Training and Employment Office. Also included are personnel records relative to the Unit.</p>	<p>Retain for three (3) years, then screen and destroy all material not needed for conduct of business. Directives and other material relating to planning and policy that illustrate the development of the office, retain permanently for eventual transfer to Hall of Records.</p>
3	<p><u>Programmatic Reporting Unit CETA Records</u></p> <p>This includes records for CETA participants enrolled in BOS and Special Grant programs. Each participant folder contains CETA intake and termination forms, records of CETA participation and related correspondence.</p>	<p>Retain for five (5) years from date of enrollment and until resolution of audits, then destroy.</p>

Schedule Approved by Department, Agency, or Division Representative

Schedule Authorized by Hall of Records Commission

JUN 26 1984

Date

Signature

Title

Date

State Archivist

Director, Division of General Services

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No.	Description	Retention
4	<p><u>TEO Hearing Officer's Records</u></p> <p>This file consists of files of CETA related complaints. File folders contain CETA Complaint Records, hearing notices, hearing decisions and related information.</p>	<p>Retain for five (5) years after resolution of complaint, then destroy.</p>
5	<p><u>Personnel Folders</u></p> <p>The Clerical Unit maintains a personnel folder for each TEO employee which includes employee evaluations, leave records, time sheets, etc.</p>	<p>Retain for five (5) years after termination of employment, then destroy.</p>
6	<p><u>Correspondence Records</u></p> <p>The Clerical Unit maintains correspondence records to and from subgrantees, the Department of Labor and other parties.</p>	<p>Retain for five (5) years, then destroy.</p>
7	<p><u>Balance of State (BOS) Subgrant Records</u></p> <p>These records consists of copies of the subgrants, subgrant modifications, fiscal and programmatic reports, closeout and audit documents, monitoring reports and correspondence.</p>	<p>Retain for five (5) years after expiration of grant (subgrant) and until resolution of all audits, then destroy.</p>
8	<p><u>BOS Grant Records</u></p> <p>These records include copies of the grants, grant modifications, Federal reports, fiscal settlements and related correspondence.</p>	<p>Retain for five (5) years after expiration of grant (subgrant) and until resolution of all audits, then destroy.</p>
9	<p><u>BOS Planning Council Records</u></p> <p>These records include minutes of council meetings, copies of Executive Orders and general correspondence.</p>	<p>Retain minutes permanently for eventual transfer to the Hall of Records. Retain the remainder for five (5) years, then destroy.</p>
10	<p><u>State Public Service Employment (PSE) Unit Participant Records</u></p> <p>A folder is maintained for each participant and contains copies of all necessary personnel forms, correspondence and other information regarding the participant.</p>	<p>Retain for five (5) years then destroy.</p>

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11	<p><u>State PSE Unit Records of Participating Prime Sponsors and State Host Agencies</u></p> <p>This file includes contracts, budget sheets, invoices, status reports, and related correspondence.</p>	<p>Retain for five (5) years, then destroy.</p>
12	<p><u>The Special Grant Planning Unit</u></p> <p>This file contains subgrant records which include much the same information as BOS records, such as subgrant copies, fiscal reports and related correspondence.</p>	<p>Retain for five (5) years after expiration of grant (subgrant) and until resolution of all audits, then destroy.</p>
13	<p><u>Prime Sponsor Comprehensive Employment and Training Plans</u></p> <p>This file contains the State Employment and Training Council (SETC) Unit records.</p>	<p>Retain for three (3) years, then destroy.</p>
14	<p><u>Quarterly Report of Maryland Prime Sponsors</u></p> <p>This file includes copies of the quarterly reports of Maryland Prime Sponsors, and is maintained by the SETC Unit.</p>	<p>Retain for two (2) years, then destroy.</p>
15	<p><u>SETC and SETC Committee Meetings</u></p> <p>This file consists of minutes of the meetings.</p>	<p>Retain permanently for eventual transfer to the Hall of Records.</p>
16	<p><u>National Employment and Training Programs</u></p> <p>This file consists of the notifications of nationally funded programs including computer printouts of national employment and training programs</p>	<p>Retain for three (3) years, then destroy.</p>
17	<p><u>Fiscal Unit Subgrant Records</u></p> <p>This includes copies of subgrants, subgrant modifications, monthly fiscal reports and closeout documents.</p>	<p>Retain for five (5) years after expiration of grant (subgrant) and until resolution of all audits, then destroy.</p>

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18	<p><u>Monitoring and Evaluation Unit Subgrantee Records</u></p> <p>This includes copies of subgrants, monthly reports, on-site visit reports and evaluation reports.</p> <p style="text-align: center;"><u>JOB SERVICE OFFICE</u></p>	<p>Retain for five (5) years after expiration of grant (subgrant) and until resolution of all audits, then destroy.</p>
19	<p><u>General Employment Service Correspondence</u></p> <p>Subject arrangement of incoming correspondence, copies of outgoing letters, memoranda, reports, surveys studies, news clippings, publications and other miscellaneous papers related to administration of the Employment Service.</p>	<p>Screen annually. Destroy the material no longer needed for current operations. Retain other material for three (3) years and then destroy. Material related to planning and policy that illustrate the development of the Employment Services, retain permanently for eventual transfer to Hall of Records.</p>
20	<p><u>Employer Record</u></p> <p>The employer record is prepared for each major employer utilizing the services of ES, except individual employers of domestic workers. The record may contain all or some of the following: Name and address, personnel officer, type of business, products, number of employees, working conditions, employee benefits and comments. This record is kept up-to-date by posting of information gathered by visiting the employer.</p>	<p>If employer discontinues business or moves out of local office area, review and destroy.</p>
21	<p><u>Registration Card</u></p> <p>The registration card is prepared for all applicants who are seeking work through the Employment Service or who are required to register as a condition of eligibility for other programs. This record includes identifying and statistical data, work history and other information relevant to the job placement process. Services provided to each applicant are posted on this record. Identifying information, statistical data and services are entered into a computerized data system. The registration remains active until the applicant is placed on a job or for 60 days (180 days for veterans and unemployment insurance claimants) from date of last service. The</p>	<p>Remove and destroy registration card and index when registration is purged from computer records.</p>

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	<p>registration card is then placed in the inactive file. In the 13th month of inactivation, the registration is purged from the inactive file. Inactivation and purging are controlled by the computerized data system and the record is physically moved from the active to the inactive file or removed (purged) from the inactive file in accordance with computer listings. The cross index card is removed when the registration is purged.</p>	
22	<p><u>Job Order Form</u></p> <p>Information provided by employers on job openings is recorded on the Job order form. This includes employer identification, job title, numbers of openings, description of duties, minimum qualifications, wages and referral instructions. The order is entered in a computerized Job Bank System and referral results are entered against this order. When all openings have been filled or cancelled, the order is closed.</p>	<p>Retain for one (1) year from date order is closed and then destroy.</p>
23	<p><u>Counseling Control Card</u></p> <p>This record is prepared for applicants who receive employment counseling services. Information is entered on vocational problem, short and long-term vocational plan, follow-up and other information necessary to counseling process.</p>	<p>Retain for three (3) years from date of last counseling interview and then destroy.</p>
24	<p><u>Test Record Card</u></p> <p>This record contains test scores on applicants given ES aptitude and proficiency tests.</p>	<p>Retain for three (3) years from date of testing and then destroy.</p>
25	<p><u>Applicant Data System</u></p> <p>Daily and weekly computer printouts used by the employment service and consisting of applicant characteristics (economically disadvantaged, welfare, food stamp, claimant, etc.) and services provided (counseling, testing, child care, referrals, placements, etc.).</p>	<p>Retain for two (2) years, then destroy.</p>
26	<p><u>Employment Security Automated Reporting System</u></p> <p>Monthly computer printouts used by the employment service showing numerical breakdowns of employment service applicants according to sex, race, veteran, migrant and other characteristics.</p>	<p>Retain for two (2) years, then destroy.</p>

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27	<p><u>Targeted Jobs Tax Credit (TJTC)</u></p> <p>A. These files may contain all or some of the following: TJTC Eligibility Questionnaires and related correspondence, Applicant Characteristics Forms and Vouchers on persons not Certified and employer requests for certification.</p> <p>B. These files may contain all or some of the following: TJTC Certifications and related papers.</p>	<p>Retain for one (1) year from date form received by TJTC office and then destroy.</p> <p>Retain for seven (7) years from date form received by TJTC office and then destroy.</p>
28	<p><u>Circuit Court Appeals Files</u></p> <p>These files may contain all or some of the following: Correspondence, pleadings, transcripts of testimony, and court decisions.</p> <p style="text-align: center;"><u>WIN PROGRAM</u></p>	<p>Retain for five (5) years after court decision and then destroy.</p>
29	<p><u>Case Records</u></p> <p>Upon referral by the Social Services Administration, each client is registered by WIN and a case folder is prepared. A case record folder may contain all or some of the following: WIN registration referral, WIN registration, ES registration, WIN record of action, WIN status change notice, employability plan and certification record, copies of appointment letters, job referrals, job placement, notice of intended action from SSA, registrant status change, notice of intended adjudication and results of adjudication. The final record shown in the folder would be the deregistration of the client.</p>	<p>Retain for three (3) years after deregistration, then destroy.</p>
30	<p><u>General Accounting Records</u></p> <p>Certificate of Deposit and Bank Deposit Slips Distribution of Charges Memorandum of Adjustments Monthly Report of State Funds Collected and Deposited</p>	<p>Retain for three (3) years and until all audit requirements have been fulfilled, then destroy.</p>

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31	<p><u>Special Accounting Records</u></p> <p>Reports of audits conducted by the Legislative Auditors</p> <p>Reports of audits conducted by persons or agencies other than the Legislative Auditors</p> <p>Books of Final Entry - General Ledgers</p>	<p>Retain for ten (10) years, then destroy.</p> <p>Retain permanently.</p> <p>Retain permanently.</p>
32	<p><u>Budget and Fiscal Planning Records</u></p> <p>Budget Estimates</p> <p>Budget Schedule Amendment</p> <p>Materials and Supplies Physical Inventory</p> <p>Report of Fixed Assets</p> <p>Report of Materials and Supplies</p> <p>Request for Position Action</p>	<p>Retain for three (3) years and until all audit requirements have been fulfilled, then destroy.</p>
33	<p><u>Purchasing Records</u></p> <p>Out-of-Schedule Requisition for Supplies</p> <p>Purchase Order</p> <p>Report of Partial Delivery</p> <p>Requisition for Supplies (Also Agency Interoffice Requisitions)</p>	<p>Retain for three (3) years and until all audit requirements have been fulfilled, then destroy.</p>
34	<p><u>Miscellaneous Accounting Records</u></p> <p>Bank Books, Statements, and Deposit Receipts</p> <p>Budget Papers and Work Sheets</p> <p>Cancelled Checks, Check Copies and Check Stubs</p> <p>Delivery Orders and Receipts</p> <p>Gas Withdrawal Tickets and Mileage Reports</p> <p>Paid Bills and Invoices</p> <p>Periodic Financial Reports to Local/State Agencies</p> <p>Receipt Copies and Stubs</p> <p>Receiving Reports</p> <p>Reconciliation and Trial Balance Sheets</p> <p>Renewable Licenses</p> <p>Requisitions and Purchase Orders</p> <p>Stock Record Cards</p> <p>Allowance Payment Records</p> <p>WIN OJT, PSE, and Institutional sub-contracts</p>	<p>Retain for three (3) years and until all audit requirements have been fulfilled, then destroy.</p>

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35	<p><u>General Administrative Correspondence File</u></p> <p>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, surveys, investigations, press releases, newspaper clippings, legislative reference material, directives and other miscellaneous papers relating to the administration of WIN.</p>	<p>Screen annually. Destroy that material no longer needed for current business. Directives and other material relating to planning and policy that illustrate the development of the program, retain permanently for eventual transfer to Hall of Records.</p>