

RECORDS RETENTION AND DISPOSAL SCHEDULE

DEPARTMENT OF EMPLOYMENT AND TRAINING

UNEMPLOYMENT INSURANCE ADMINISTRATION

AGENCY

DIVISION

Item No.	Description	Retention
1	<p>This schedule covers all Unemployment Insurance Administration Records of the Department of Employment and Training and supersedes any other items of all previous schedules.</p> <p style="text-align: center;"><u>ADMINISTRATIVE OFFICES</u></p> <p><u>Assistant Secretary's and Director's General Correspondence</u></p> <p>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, and other material relating to the functions of Unemployment Insurance Administration.</p>	<p>Retain for three (3) years then destroy. Material relating to planning and policy that illustrate the development of the U.I. program, retain permanently for eventual transfer to Hall of Records. Retain directives for three (3) years after cancellation, then transfer to Hall of Records.</p>
2	<p><u>General Administrative Correspondence File</u></p> <p>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, survey, investigations, press releases, legislative material, directives and other miscellaneous papers relating to the administration of the U.I. program.</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 U.I. program, retain permanently for eventual transfer to Hall of Records.</p>

Schedule Approved by Department,
Agency, or Division Representative

Schedule Authorized by
Hall of Records Commission

JUN 26 1984

Patrick B. Keenan
Signature

Date

Signature

Title

Date

State Archivist

Director, Division of General Services

Item No.	Description	Retention
<u>BENEFITS</u>		
3	<p><u>Wage Records</u></p> <p>Records representing one individual's earnings in covered employment. This record series may contain all or some of the following:</p> <ul style="list-style-type: none"> A. Employment Report B. Disputed Claim C. Disputed Claim Affidavit 	<p>Retain for five (5) years, then destroy.</p> <p>Retain for three years, then destroy.</p>
4	<p><u>Overpayment/Recovery Records</u></p> <p>Documents representing an amount of benefits paid to one individual to which the individual is not legally entitled, regardless of whether or not the amount is subsequently recovered or waived. This record series may contain all or some of the following:</p> <ul style="list-style-type: none"> A. Claim History Card B. Nonmonetary Determination C. Earnings Reconciliation Sheet and Nonmonetary Determination D. Earnings Reconciliation Sheet E. Request for Verification of Wages F. Special Request for Employee's Weekly Earnings G. Post Audit Wage/Employer Inquiry Request Forms H. Verification Letter to Employer I. Recovery History Sheet J. Notice of Intent to Prosecute for Fraud Overpayment: Request for Valid Defense K. Dunning Letter: Repayment Agreement 	<p>Retain collectible accounts for three (3) years after the date of closure and then destroy.</p> <p>Retain uncollectible accounts until authority to abate accounts has been received and then destroy.</p>

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

Item No.	Description	Retention
	<p>L. Overpayment Account Statement</p> <p>M. Overpayment Account Card</p> <p>N. Claim Credit Receipt and Notice to Claimant</p> <p>Folders containing collectible accounts remain in the active file until reimbursement is made, at which time they are placed in the inactive file. The remaining folders are periodically audited and are determined to be uncollectible by the Assistant Secretary of the Unemployment Insurance Administration if they comply with the following formula:</p> <p>A. The claims examiner's determination establishing the overpayment was made more than five years prior to the audit;</p> <p>B. No payment by cash or claim credit has been made by the claimant within six months prior to the audit, and</p> <p>C. No earnings have been listed in the wage record section for the claimant in the period extending from the first day of the base period for the benefit year in which the audit was conducted through the last calendar quarter for which records are available.</p> <p>When a determination is made that the accounts are uncollectible, the U.I. Assistant Secretary certifies a list of such cases to the Secretary, Department of Employment and Training for authority to abate the account resulting from the overpayment of benefits as well as any administrative penalties which were assessed.</p>	
5	<p><u>Federal Claim Records</u></p> <p>A series of records pertaining to the case history of former federal employees. This record series may contain all or some of the following:</p> <p>A. Request for Wages and Separation Information - Unemployment Compensation for Federal Employees (UCFE)</p>	<p>Retain for three (3) years after final action (including appeals or court action) then destroy. Reference source: Employment Security Manual Part V., Section 9193 "Disposal of UCFE and UCX Records."</p>

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	Description	Retention
	<p>B. Request for Separation Information for Additional Claim - Unemployment Compensation for Federal Employees (UCFE)</p> <p>C. Request for Information or Reconsideration of Federal Funding - Employment Compensation for Federal Employees (UCFE)</p> <p>D. Claimant's Affidavit of Federal Civilian Service, Wages, and Reason for Separation</p> <p>E. Request for Verification of UCFE Wages and Separation Information Furnished on Form ESA 931.</p>	
6	<p><u>Military Claim Records</u></p> <p>A series of records pertaining to the case history of former ex-service personnel who apply for benefits. This record series may contain all or some of the following:</p> <p>A. Request for Determination of Federal Military Service and Wages</p> <p>B. Request to Veterans Administration for Military Information for Unemployment Compensation Purposes</p> <p>C. Form Letter for Verification of Information</p>	<p>Retain for three (3) years after final action (including appeals or court action) then destroy. Reference Source: Employment Security Manual Part V., Section 9193 "Disposal of UCFE and USC Records."</p>
7	<p><u>Interstate Records</u></p> <p>Records pertaining to one individual who filed a claim in one (agent) state based on monetary entitlement to compensation in another (liable) state. This record series may contain all or some of the following:</p> <p>A. Initial Interstate Claim</p> <p>B. Continued Interstate Claim</p> <p>C. Request for Transfer of Wages - Interstate Arrangement for Combining Employment and Wages</p> <p>D. Report on Determination of Combined Wage Claim</p>	<p>Retain for three (3) years, then destroy.</p>

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No.	Description	Retention
	E. Statement of Benefits Paid to Combined Wage Claimant	
	F. Interstate Eligibility Review	
	G. Fact Finding Report	
	H. Separation Fact Finding Report	
	I. Interstate Tracer	
	J. Interstate Memorandum	
	K. Request for Information or Correction	
	L. Request for Information - Re-availability	
	M. Interstate Memorandum (Self-Employment)	
	N. Interstate Memorandum (Second Benefit Year)	
	O. Request for Claim Status	
	P. Notice of Interstate Appeal	
	Q. Wage Information Request	
	R. Wage Transfer Determination	
	S. Combined Wage Memorandum	
8	<p><u>Comprehensive Employment and Training Act</u></p> <p>This series of records pertains to the payment of benefits to participants in the CETA program. This record series may contain all or some of the following:</p> <p>A. CETA History Card</p> <p>B. Notice of Participation</p> <p>C. Request for Allowances</p> <p>D. CETA Checks</p>	<p>Retain for a period of five (5) years from the date of enrollment into the program. Reference source: Federal Register V. 44 No. 66 - 676.35(b).</p>

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I NO.	Description	Retention
9	<p><u>Trade Readjustment Allowance (TRA) Records</u></p> <p>Records pertaining to a Federal program that pays trade readjustment allowances to workers whose unemployment is certified as attributable to foreign imports. This record series may contain all or some of the following:</p> <ul style="list-style-type: none"> A. Request for Determination of Entitlement to Trade Readjustment Allowance (TRA) B. Request for Employment Information C. Worker's State of Qualifying - Period Employment D. Request for Trade Readjustment Allowance (TRA) Following a Subsequent Separation from Adversely Affected Employment E. Entitlement Determination to Trade Readjustment Allowance F. Notice of Change in Entitlement to Trade Readjustment Allowance G. Request and Determination of Worker Entitlement to Allowance H. Request for Relocation Allowance I. State Employment Service Director Certification of Suitable Employment J. History Card K. Nonmonetary Determinations L. Claim Cards M. Trade Readjustment Allowance (TRA) Checks <p style="text-align: center;"><u>CONTRIBUTIONS</u></p>	<p>Retain for three (3) years after final action on the claim, then destroy. Reference Source: Adjustment Assistance for Workers Under the Trade Act of 1974. MA Handbook No. 315 Parct C - Chapter XI.</p>
10	<p><u>Cashier's Records</u></p> <p>Records relate to receipts of employer payments of U.I. contributions, interest and penalties and disbursement of U.I. benefit checks to claimants. This record series may contain all or some of the following:</p>	

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Item	Description	Retention	
	A. Cash Book Ledger	Retain permanently.	
	B. Correction Form	Retain for three (3) years or until audited, whichever is later and then destroy.	
	C. Transfer of Fund to Special Administrative Expense Fund		
	D. Classification of Items-Current Year		
	E. Classification of Items-Previous Year		
	F. Cash Benefit Disbursement Warrant		
	G. Undelivered/Release Check Modification		
	H. Cashier Control		
	I. Collection of Forged Benefit Checks		
	J. Forged Signature Affidavit		
	K. Authorization to Process New Check		
	L. Validation Tapes		
	M. Cash Receipt Books		
	N. CETA Overpayment Recovery Receipt Book		Retain for five (5) years, then destroy.
11	<u>Experience Rating Records</u> Records relate to employer totals of wages paid and benefits charged to their account and the resultant UI contribution rate. This record series may contain all or some of the following:		Retain for three (3) years, then destroy.
	A. Experience Rating Work Sheet		
	B. Experience Rating Notice		
	C. Experience Rating Notice - Delinquent Employers		
	D. Notice of Benefit Payments Charged to Your Experience Rating Account		
	E. Transfer of Contribution Rate		

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No.	Description	Retention
12	<p><u>Accounts Receivable Records</u></p> <p>Records relate to totals of underpayments of overpayments of employee contributions per employer account. This record series may contain all or some of the following:</p> <ul style="list-style-type: none"> A. Adjustments of Difference Between DET/ESA 15 and DET/ESA 16 B. Underpayment and/or Overpayment C. Cash Refund Requests D. Contribution - Batch Control E. Multi-period Batch Control Sheet F. Approval Warrant and Refund G. Check Returned by Bank H. Request for Wage Adjustment I. Employer Partial Payment Plan 	<p>Retain for three (3) years or until audited, whichever is later, and then destroy.</p> <p>Retain for five (5) years, and then destroy.</p> <p>Retain for three (3) years, after satisfaction or until audited, whichever is later and then destroy.</p>
13	<p><u>Field Investigation Reports</u></p> <p>Records relate to delinquency assignments and completed audit assignments. This record series may contain all or some of the following:</p> <ul style="list-style-type: none"> A. Field Advisor's Report B. Field Representative's Daily Report C. Audit Assignment and Reports D. Monthly Summary of Audits Performed 	<p>Retain for three (3) years, then destroy.</p>
14	<p><u>Separation Notice Record</u></p> <p>Records relate to employers who have failed to return requests for separation information to the agency timely.</p> <ul style="list-style-type: none"> A. State of Assessments 	<p>Retain for three (3) years, or until audited, whichever is later, and then destroy.</p>

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Item No.	Description	Retention
15	<p><u>Accounts & Audits Records</u></p> <p>Records relate to control of bank statements for UI benefit check disbursements and security for employer accounts that reimburse the UI Trust Fund in lieu of contribution payments. This record series may contain all or some of the following:</p> <ul style="list-style-type: none">A. Stop Payment RequestB. Letter to Employer About Adequacy of SecurityC. Releasing Funds in Escrow	<p>Retain for three (3) years, then destroy.</p> <p>Retain for three (3) years after satisfaction or until audited, whichever is later, then destroy.</p>
16	<p><u>Employer Control Records</u></p> <p>Records relate to mailing and receipt of employer quarterly contribution and wage reports. This record series may contain all or some of the following:</p> <ul style="list-style-type: none">A. Supplement to Quarterly Contribution ReturnB. Employment Report	<p>Retain for five (5) years, then destroy.</p>
17	<p><u>Employer Folders - (Liable Accounts)</u></p> <p>Records relate to pertinent agency documents for establishing and maintaining UI employer accounts. This record series may contain all or some of the following:</p> <ul style="list-style-type: none">A. Report to Determine Liability - EmployerB. Report to Determine Liability - Non-ProfitC. Report to Determine Liability - Government EntityD. Voluntary Election Under Section 9E. Notice to Employers of Account NumberF. Notice to Employers of Check Without Liability ReportG. Letter: Enclosing DET/ESA 1 Assigning Account Number	<p>Retain while reporting company remains active and for an additional four (4) years, then destroy.</p>

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No.	Description	Retention
	H. Certain Barbers and Beauticians Exempt	
	I. Certain Taxi Cab Drivers Exempt	
	J. Election for Coverage in Maryland	
	K. Employer's Reciprocal - Coverage Election	
	L. Notice to Employees as to UI Coverage	
	M. Employees Consent - Coverage in Maryland	
	N. Letter to Successor Advising of Responsibility	
	O. Inquiry About Sale of Business and Successor	
	P. Letter - Confirmed	
	Q. Letter - Confirmed Sale	
	R. Disregard Letter Employer No. Assigned in Error	
	S. Contribution Return	Retain for five (5) years, then destroy.
18	<p><u>Employer Folder (Uncollectible Accounts)</u></p> <p>Records related to pertinent agency documents for maintenance of UI employer accounts with Accounts Receivable balances deemed to be uncollectible. This record series may contain all or some of the following:</p> <p>A. Certification of Assessment</p> <p>B. History Sheet</p> <p>C. Acknowledge Receipt of Check</p> <p>D. Final Notice Delinquent Contribution</p> <p>E. Assistance in Locating Employee</p> <p>F. Subpoena Duces Tecum</p> <p>G. Transmit Reciprocal Coverage Agreement</p> <p>H. Writ of Fieri Facias</p> <p>I. Notice to Employer of Judgment</p>	Retain for three (3) years after satisfaction or until audited, whichever is later then destroy.

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No.	Description	Retention
	J. Final Notice to Pay Judgment	
	K. Approval Warrant	
	L. Claim Bankruptcy Filed With Court	
	M. Petition to Enjoin Employer from Operation	
	N. Final Petition and Order to Enjoin Employer	
	O. To Accounts Receivable - Uncollectible	
	P. Order of Satisfaction	
	Q. Settlement of Assessment	
	R. Stipulation and Consent Order	
	S. Order of Dismissal	
	T. Letter for Additional Interest/Court Cost	
	U. Statement of Financial Conditions	
19	<p><u>Claim History Records</u></p> <p>All related records and documents which pertain to the case history of an individual who files for and/or receives unemployment insurance benefits. This record series may contain all or some of the following:</p>	Retain for three (3) years, then destroy.
	A. Original Claim for Benefits	
	B. Additional Claim for Benefits	
	C. Supplemental Information-Initial Claim	
	D. Claim History Card	
	E. Claim Card	
	F. Separation Notice Series	
	G. Request for Verification of Wages	
	H. Special Request for Employee's Weekly Earnings	
	I. Employment Service Report on Claimants	
	J. Eligibility Review Form	

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Item No.	Description	Retention
20	<p>K. Sick Claims</p> <p><u>Nonmonetary Determination Records</u></p> <p>Records pertaining to a decision made by the initial authority based on facts related to an issue. This record series may contain all or some of the following:</p> <ul style="list-style-type: none"> A. Nonmonetary Determination Series B. Earnings Reconciliation Sheet and Nonmonetary Determination C. Earnings Reconciliation Sheet D. Java <p style="text-align: center;"><u>U.I. BENEFIT CHECKS</u></p>	<p>Retain for three (3) years, then destroy.</p>
21	<p><u>Cashed Benefit Checks</u></p> <p>Benefit checks originate in and are returned to the Central Office; are necessary in cases of fraudulent claims, court cases, forgeries and overpayments.</p>	<p>Retain for three (3) years or until audited, whichever is later, then destroy.</p>
22	<p><u>Work Incentive Program (WIN) Payments Record</u></p> <p>This record may include all or some of the following: History card, WIN questionnaire, weekly attendance form, and vouchers.</p> <p style="text-align: center;"><u>APPEALS DIVISION</u></p>	<p>Retain for five (5) years and until audited, then destroy.</p>
23	<p><u>Appeals Folder</u></p> <p>Appeals from unemployment benefit awards made by the local office may be made by the claimant or his former employer to the Appeals Division. A folder referred to as the appeals folder is prepared for the appellant. The appeals folder may contain all or some of the following: Claims examiner determination, notice of disqualification and request for appeal, appeal hearing notice, referee's decision, and a letter of notice of referee's decision, and it may also contain a medical statement. Should the appellant be dissatisfied with the referee's decision, he may file an appeal with the Board of Appeals. If the appellant is still dissatisfied, he may further appeal to the Courts. However, the appeals beyond the referee's decision are not a part of the appeals folder, although both the Board of Appeals and the</p>	<p>Retain for three (3) years from the date of the referee's decision, then destroy.</p>

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Item No.	Description	Retention
	<p>Courts may use the appeals folder in their respective hearings. The Board of Appeals and the Courts maintain separate files.</p>	
24	<p><u>Taped Recordings</u></p> <p>This file consists of a taped recording of the appeals hearing.</p>	<p>Retain for three (3) years from the date of the referee's decision, then destroy.</p>
25	<p><u>Referee's Decision</u></p> <p>This is a file maintained by the Word Processing Unit. This file may contain all or some of the following: Name of principals, dates of hearing, decision and when decision becomes final.</p>	<p>Retain for five (5) years from the date of the referee's decision, then destroy.</p>
26	<p><u>Indexes</u></p> <p>This is a file maintained by the Appeals Division which contains 3½ x 7½ cards. They are arranged alphabetically and numerically and may contain all or some of the following: Name, address, appeal number, social security number, local office, dates of receipt of appeal, hearing and decision, brief summary of decision and whether appealed to the Board of Appeals.</p>	<p>Retain for five (5) years from the date of the referee's decision, then destroy.</p>
<u>BOARD OF APPEALS</u>		
27	<p><u>Indexes</u></p> <p>This is a file maintained by the Board of Appeals which contains 3½ x 7½ cards. They are arranged alphabetically and numerically and may contain all or some of the following: Name, address, appeal number, social security number, local office, dates of receipt of appeal, hearing and decision, and a brief written record of action taken regarding appeal.</p>	<p>Retain for three (3) years from the date of the decision, then destroy.</p>
28	<p><u>Board Denials & Dismissals (No Formal Hearing)</u></p> <p>This is a file maintained by the Board of Appeals. This file may contain all or some of the following: Name of principals, date of the hearing, decision and when appeal to court time expires; signed by the Chairman and one of the Associate Members. It also contains a copy of the referee's prior decision.</p>	<p>Retain for three (3) years from the date of the decision, then destroy.</p>

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Item	Description	Retention
29	<p><u>Board Decision (Formal Hearing)</u></p> <p>This is a file maintained by the Board of Appeals. This file may contain all or some of the following: Name of principals, date of hearing, decision, and when appeal to court time expires; signed by the Chairman and one of the Associate Members. It also contains a copy of the referee's prior decision. This file is used for precedents, training and research.</p>	<p>Retain for twenty-five (25) years from the date of the decision, then destroy.</p>