

Employment Security, Department of

Division	Schedule #	Title	Description	Disposition
Administration and Services	316	General Letters	This series consists of letters related to information, procedures, and transmittals. This series is cut off at the end of the calendar year.	Hold in the current files area ten (10) years, then dispose.
Business Management	420	Employees' Savings Bond Purchases	This series consists of files related to saving bonds. Included are signature for receipt and savings bond number.	Hold in the current files area indefinitely.
Contracts and Management	516	CETA and Job Training Partnership Act Files	This series consists of files related to job training. Included are correspondence, follow-up reports, eligibility certifications, change in status, contracts with employers, and ESC reimbursements. This series is cut off at the end of the fiscal year.	Hold in the current files area three (3) years or until audit, then dispose.
Contributions and Status Department	1324	Postings of Federal Program Claims	This series consists of files related to UCFE (Unemployment Compensation for Federal Employees), UCX (Unemployment Compensation for Ex-Servicemen), TRA (Trade Readjustment Act), DUA (Disaster Unemployment Act) Claims, PSE (Public Service Employment) and CETA (Comprehensive Employment Training Act). Included are cancelled checks handwritten source, recaps of check registers, and deposit slips. This series is cut off at the end of the fiscal year.	Hold in the current files area seven (7) years, then dispose. Audit must have been released three (3) years prior to disposal.
Employment Services	511	General Correspondence	This series consists of files related to supervisors' reports, memos, and instructions. Included are correspondence with Governor's office and other states. This series is cut off at the end of the calendar year.	Hold in the current files area three (3) years, then dispose.
Employment Services	517	Plans of Service	This series consists of files related to estimates of activities of local offices. Included are information on projection of services to applicants and employers. This series is cut off at the end of the fiscal year.	Hold in the current files area one (1) year, then dispose.

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Employment Services	519	Forums	This series consists of files related to report of forums and synopses of who spoke. Each local office has an annual forum with employers, vets, community and minority leaders. This series is cut off at the end of the fiscal year.	Hold in the current files area one (1) year, then dispose.
Labor Market Information Department	666	Employment Services Placement Activities	This series consists of files related to all activities of Employment Services Division. Included are job orders, applications, referrals and counseling and testing. This series is cut off at the end of the fiscal year.	Hold in the current files area indefinitely.
Labor Market Information Department	667	Survey to Employer (Form 790)	This series consists of files related to the number of paid employees, total payroll and the hours worked in different industries. This series is a sample of certain percentages of all industries. This series is cut off at the end of the calendar year.	Hold in the current files area three (3) years, then dispose.
Legal Affairs	5644	General Correspondence	This series consists of general correspondence files. Included is correspondence regarding affirmative action, appellate cases, child support, agreement files, garnishment files, claimant and employer letters and other letters pertaining to the agency.	Transfer files in this series that become a case to the pending court case files; hold other files in the current files area two (2) years or until superseded; transfer to agency's holding area; hold three (3) years, then dispose after creation or expiration.
Legal Affairs	5645	Court Cases	This series consists of cases in circuit, chancery, appellate, bankruptcy and federal courts. Included are transcripts of records, answers, briefs and decisions. Also included are cases involving discrimination cases and land and tax complaints.	Hold in the current files area one (1) year after closure of case; transfer to agency's holding area; hold seven (7) years from closure of file, then

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Legal Affairs	5648	Decisions Books	This series consists of decisions of administrative law judges and the board of review. Documentation includes name, Social Security number, dates of hearings and decision.	Image and verify; dispose of paper three (3) months after image has been verified. Hold imaged files in the current files area three (3) years, then dispose. Audit must have been released three (3) years prior to disposal.
Legal Affairs	5655	Unemployment Insurance Garnishment Records	This series consists of garnishment wage files related to individuals who were overpaid unemployment insurance benefits and failed to make the required payment. Included are writs of garnishment files, suggestions, summons, answers, motions and dismissals concerning the agency's unemployment insurance garnishment actions and related files.	Image and verify; hold paper in the current files area one (1) year, then dispose. After satisfaction of garnishment, hold imaged files and other electronic files three (3) years, then dispose.
Legal Affairs	5656	Bankruptcy Records	This series consists of bankruptcy files of claimants who were overpaid unemployment insurance. Included are notices received from the bankruptcy court, automatic stay, B21 (Proof of Claim), chapter 13 plans, chapter 11 reorganization plans, notices of asset recovery (chapter 7), confirmed plans for chapter 13 and chapter 11, orders, motions, copies of checks received from employer bankruptcies, adversary files and related files.	Image and verify; hold paper in the current files area one (1) year, then dispose. Hold imaged files in the current files area ten (10) years, then dispose. Audit must have been released three (3) years prior to

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Legal Affairs	5668	Tax Garnishment Records	This series consists of bankruptcy files related to employers who have failed to pay their unemployment insurance taxes. Included are writs of garnishment files, suggestions, summons, answers, motions, orders concerning the agency's unemployment insurance tax garnishment actions and related files.	Hold in the current files area three (3) years after satisfaction of the garnishment, then dispose. Audit must have been released three (3) years prior to disposal.
Legal Affairs	5911	Case Files (Benefit Payment Files)	This series consists of appeal case files. Included are appeals and hearing notices, investigative reports, decisions, exhibits, benefit payment files, administrative law judge files, board of review files and related materials.	Hold infeasible exhibits three (3) years, then dispose. Image and verify other files; dispose of paper three (3) months after image has been verified. Hold imaged files in the current files area three (3) years, then dispose. Audit must have been released three (3) years prior to disposal.
Office of Customer Operations Support	5669	Unemployment Insurance Individual Claim Supporting Files	This series consists of unemployment claim files of individuals attempting to receive unemployment benefits and have supporting documentation. This information is forwarded to the agency by mail or fax. Included are correspondence supporting files, transmittals, weekly TRA time sheets, UI-505 monetary determination forms, UI-21A, UI-21AE notices to employer of claim filed forms, notices of employer claim determinations, claim determination notices, UI-538 doctors' certificate forms, ES 931 request for wages and separation information forms, check stubs, W-2 forms and related files.	Image and verify; hold paper in the current files area one (1) year, then dispose. Hold imaged files in the current files area three (3) years, then dispose. Audit must have been released three (3) years prior to disposal.

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Office of Customer Operations Support	5670	Unemployment Insurance Individual Claim Files (Web-Based)	This series consists of files of claimants who apply for receive unemployment insurance benefits by submitting information on the agency's web-based application (Access). Included are UI-505 monetary determination forms, UI-21A, UI-21AE notices to employer of claim filed forms, notices of employer claim determinations, claimant nonmonetary determination notices, UI-538 doctors' certificate forms, ES 931 request for wages and 935 claimant affidavit for federal wages forms.	Hold electronic files in the current files area seven (7) years, then dispose. Audit must have been released three (3) years prior to disposal.
Office of the Comptroller	5651	Employers Quarterly Report of Wages	This series consists of UI-3 forms documenting employer quarterly reports and wages paid to employees. Information on UI-3s includes name, Social Security number, wages paid, employer name and employer account number.	Hold in current files area for the base period of five (5) quarters; transfer to agency's holding area; hold three (3) years, then dispose. Audit must have been released three (3) years prior to disposal.
Office of Workforce Information	5660	Occupational Employment Statistics (OES) Employer Survey Forms	This series consists of Occupational Employment Statistics survey forms completed by employers every three years. The forms include employer's address, industry code, and employment and wages by occupation.	Hold in current files area four (4) years, then dispose.
Office of Workforce Information	5661	Unemployment Insurance Reports Files	This series consists of files, data and reports related to unemployment insurance claims. Information includes number of benefits paid, number of initial claimants, first payment information, and weeks paid information and continued claims.	Hold in the current files area permanently.

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Office of Workforce Information	5664	Quarterly Census of Employment and Wages (QCEW) Annual Refile Survey R	This series consists of quarterly surveys to gather data for the Covered Employment & Wages publication. Information includes account number, mailing address, physical address, county code and description of nature of business.	Hold in current files area five (5) years, then dispose.
Office of Workforce Information	5665	Quarterly Census of Employment and Wages Multiple Worksite Report Form	This series consists of forms related to quarterly employment and wages for employers that have multiple locations in the state. Information includes account number, mailing address, physical locations of worksites, employment for each month of the quarter by physical location and total wages for quarter by physical location.	Hold in current files area two (2) years, then dispose.
Office of Workforce Information	5666	Projections of Total Employment Master Files	This series consists of source files and publications related to industrial and occupational projections indicating possibilities of changes in employment and the expectation of employment in the future based on historical patterns. Source files include claimant data and the Department of Labor, Bureau of Labor Statistics information.	Hold source files in the current files area three (3) years, then dispose. Hold publications in current files area permanently. Send copy of previous paper publications to State Archives; send electronic publications to State Archives annually.
Programs and Methods Department	512	Correspondence	This series consists of files related to correspondence. Included are alien certification, test agreements, and TVA. This series is cut off at the end of the fiscal year.	Hold in the current files area three (3) years, then dispose.
Programs and Methods Department	514	Job Corps Placement	This series consists of files related to employment. Included are termination notices when client leaves job center and resumes. This series is cut off at the end of the fiscal year.	Hold in the current files area three (3) years or until applicant reaches age 22 (twenty-two), then dispose.

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Unemployment Compensation	439	CETA (Comprehensive Employment Training Act) and JTPA (Job Training an	This series consists of files related to allowances for CETA and JTPA programs. Included are CETA forms ESC-CETA 307, 308, 309, and JTPA forms, JT-308 and JT-309. This series is cut off at the end of the fiscal year.	Hold in the current files area five (5) years, then dispose.
Unemployment Insurance	452	Claim Record Cards	This series consists of files related to monetary determination. Included are claim record cards (UC-507).	Hold in the current files area one (1) year; transfer to local holding facility; hold two (2) years, then dispose.
Unemployment Insurance	454	Unemployment Claims Correspondence Files	This series consists of files related to unemployment claims. Included is miscellaneous correspondence. This series is cut off at the end of the calendar year.	Hold in the current files area one (1) year; transfer to local holding area; hold two (2) years, then dispose.
Unemployment Insurance	455	Interstate Correspondence	This series consists of files related to interstate claims. Included are initial claims, miscellaneous correspondence, Initial Interstate Claim IB-1, and miscellaneous correspondence relating to claim. This series is cut off at the end of the calendar year.	Hold in the current files area one (1) year; transfer to local holding facility; hold two (2) years, then dispose.
Unemployment Insurance	456	EB (Extended Benefit) and FSC (Federal Supplemental Compensation) File	This series consists of files related to EB/FSC Claims. Included are work search forms, Benefit Rights Interview forms (UC-993, UC-993.f), and work search forms (UC-994).	Hold in the current files area one (1) year; transfer to local holding facility; hold two (2) years or until audited, then dispose. Audit must have been released three (3) years to disposal.

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Pay Orders

This series consists of files related to weekly certifications. Included are weekly claims certification (pay orders) UC-510 and UC-519.

Hold in the current files area six (6) months; transfer to State Office to be microfilmed; hold three (3) years, then dispose.