

	What are your guidelines for purging UI Data?	How often do you purge UI data?	Do you archive the purged data?	Is the archived data available in the future if needed?
<p>ARIZONA Annette Mcconnell BTS Project Manager 602-364-1839 AMcconnell@azdes.gov</p>	<p>To be eligible for purging to the Inactive File, the Benefit Year Beginning date for the claim must be older than the 24 months date. If the claim meets the date criteria for purging but the claimant is receiving a Federal Extension, the record will not be purged. There are several other "rules" used to determine if the claim can be purged:</p> <p>Active Overpayment: checks if the computed overpayment balance (using overpayment fields on the Claim Master Record) is equal to zero and the last "cash" repayment has aged one full calendar quarter. If true, the record can be purged.</p> <p>Prior Claim: checks for any regular or adjustment payments that fall within the 1099-G period. If payments are found, the record will not be purged.</p> <p>Requalifying Issue: checks if there is a requalifying issue on the claim and the disqualification start date is prior to 18 months ago. If condition is met, the claim is purged.</p> <p>Labor Dispute Issue: checks for the issue with an indefinite disqualification period. If the start date is prior to 24 months ago, the claim can be purged.</p> <p>Administrative Penalty Issue: checks for issue for Unreported Earnings or Concealed Issue. If the disqualification end date is prior to 30 days ago and when the issue status is "active" and the issue established date is prior to 24 months ago, the claim can be purged.</p> <p>The Claimant Demographic record is kept for three years after the last claim record is purged. If no claim is filed after three years, the Claimant record is permanently purged in a separate run.</p>	<p>The Claim Record purge is run twice a year in February and August. Claimant record is purged annually in June.</p>	<p>Inactive Purge records older than 36 months are purged to the History Purge file quarterly based on the run date. A separate quarterly job will permanently purge the History Files of records with a Benefit Year Beginning date greater than 54 months of the run date.</p>	<p>While on the History File, the ability to request a hard-copy print of the data is available to the deputies.</p>
<p>ARKANSAS Nancy S. Smith Program Operations Mgr UI Technical Unit 501-682-3234 Nancy.S.Smith@arkansas.gov</p>	<p>Data that is older than five(5) years</p>	<p>Once a year</p>	<p>Yes, we have five (5) years of data archived on a database.</p>	<p>Yes</p>

	What are your guidelines for purging UI Data?	How often do you purge UI data?	Do you archive the purged data?	Is the archived data available in the future if needed?
<p>CALIFORNIA Melinda Bauer Manager 916-654-8324 Melinda.Bauer@EDD.ca.gov</p>	<p>California is currently reviewing UI data purge guidelines. Guidelines will be based on the Internal Revenue Service records retention requirements, the U.S. Department of Labor and State of California records retention guidelines. While guidelines have not been finalized, a baseline for retention is anticipated to be eight to ten years from the date of the last activity on the UI claim.</p> <p>Definitions: For California, to archive data is to extract data from the active database and save onto archive media. To purge UI client and claim data is to permanently delete data from the active database and the archive media. However, California will retain some purged data in a database separate from the UI Claim database for historical statistical purposes.</p>	<p>California is developing guidelines for a purge schedule. The UI claim data is currently archived on a six month schedule.</p>	<p>In California when the data purge criteria are finalized, it is anticipated the data will be archived three to five years after the date of the last activity on the UI Claim. The data will then be purged after eight to ten years. Not all UI data will be archived or purged depending on the final criteria for the purge guidelines.</p>	<p>Yes, archived data is available.</p>
<p>COLORADO Patricia Torres 303-318-8013 patricia.torres@state.co.us</p>	<p>5 Years</p>		<p>We scan certain UI documents, however space is always a consideration and how much do we want to buy for the few times that we really need that information.</p>	<p>Yes, up to a point. 5 years but not to exceed 10 that the most due to electronic storage.</p>
<p>DELAWARE Heather Comstock IT Project Manager 302-761-8360 Heather.Comstock@state.de.us</p>	<p>Prior to EUC we were purging records that were over two years old.</p>	<p>Yearly under normal conditions but since EUC started we have not purged the files.</p>	<p>Yes</p>	<p>Yes</p>

	What are your guidelines for purging UI Data?	How often do you purge UI data?	Do you archive the purged data?	Is the archived data available in the future if needed?
FLORIDA Sandy Durrant. 850-245-7296 Sandy.Durrant@flaawi.com	Every five years; however we have not completed a purge since February 2008 due to the enactment of the extensions that require going back to older claims.	5 Years	Yes	Yes
HAWAII Greg Sue Program Specialist 808-586-9072 Greg.S.Sue@hawaii.gov	Claims with a BYE on or before 12/31 year is 3 years prior to current year. We also have conditions where claims meeting the above criteria will not be purged, pending monetary table, certification with a pending condition, potential overpayment, a report or request pending, payment transaction date equal or greater then 7/1/year of purge date, pending issue or appeal.	Once per year.	Yes	Yes, however, archived data is kept for an additional three years.
INDIANA Mary Johnson Deputy Commissioner, Unemployment 317-232-4259 MEJohnson@dwd.IN.gov	For regular (REG) claims without a child claim attached, 12 months past the BYE date. All REG claims with child claims, entire family is retained. Indiana is currently considering the purge of older claim "families" where all available benefits have already been paid. See separate sheet for purge and data selection summary.	Quarterly	Files are written to archive tapes and microfiche is created for business unit inquiry.	Yes
MASSACHUSETTS John Glennon Secretariat Chief Information Officer (SCIO) Executive Office of Labor and Workforce Development 617-626-5660 john.glennon@state.ma.us	Claims that meet the following basic criteria would be candidates for the purge/archive: <ul style="list-style-type: none"> • BYE is 05/03/08 or before • And, there were no payments on the claim after 01/01/09 • And, there are no overpayments on the claim with a balance due • And, there was no activity on the claim that was included in a report in 6 months. 	Annually, but more often if on-line storage becomes a problem.	Yes – Permanently	Yes

	What are your guidelines for purging UI Data?	How often do you purge UI data?	Do you archive the purged data?	Is the archived data available in the future if needed?
<p>MICHIGAN Clayton Tierney Director, Office of Management Services/ Sr. Project Manager 313-456-2402 tierneyc@michigan.gov</p>	<p>Claims Records:</p> <ul style="list-style-type: none"> • UI, IB, CWC-P Claims – The retention period is three years after the benefit year ending date. • UCX, UCFE, EB, and FSC Claims – The retention period for these claims is five years after the benefit year ending date. • TRA Claims – The retention period for these claims is seven years after the benefit year ending date. • DUA Claims – The retention period for these claims is five years after the benefit year ending date. • Restitution records (crosses all programs) – The retention period for these claims is three years after the date of the last action. <p>Tax Office Records:</p> <ul style="list-style-type: none"> • Employer master files are retained six (6) years from termination of account. Financial (Batch) files are retained for ten (10) years from the creation of the batch file. Financial files may be retained longer if involved in a collection process. 	<p>Annually, with several of the purge processes dependant upon other steps in the process.</p>	<p>No</p>	
<p>MISSOURI Gracia Backer Division of Employment Security Gracia.Backer@labor.mo.gov</p>	<p>At this time we do not purge UI Data. We are looking into implementing the following retention schedules for Contributions and then moving on to Benefits. See separate sheet: Agency Records Disposition Schedule. The first two pages are the only relevant pages to Contributions retention schedule.</p>			

	What are your guidelines for purging UI Data?	How often do you purge UI data?	Do you archive the purged data?	Is the archived data available in the future if needed?
<p>MONTANA John Hessler Information Systems Manager Department of Labor & Industry Unemployment Insurance Division 406-444-9780 jhessler@mt.gov</p>	<p>The only electronic data we currently purge are imaged documents that reside in the State's Centralized Imaging repository (which is a FileNet system). In the May/June timeframe each year, we purge images according to the the retention schedule that is on file with the Montana Secretary of State Records Management Bureau. Specifically, here's what we do:</p> <p>Purge ALL document images with a creation date older than 4 (four) years EXCEPT for the following (screen references below pertain to our MISTICS Benefits System):</p> <ol style="list-style-type: none"> 1. Retain all document images for social security numbers that have an <u>unserved Administrative Penalty</u> (i.e. any claim that has an amount listed in the "Weeks Remaining" field on the Issue Detail screen). 2. Retain all document images for social security numbers with an <u>overpayment amount</u> listed in the "Balance" field of the Overpayment History screen. 3. Retain all document images for social security numbers which have a \$0.00 amount in the "Balance" field of the Overpayment History screen and that was paid in full, waived, or resolved in less than 7 (seven) years from the creation date. 4. Retain all document images on claims with an <u>L67 decision code disqualification</u>. (Has not Responded To Request For Information (QC) - BAM) without a date in the "end date" field on the Issue Detail screen. <p>We plan to implement a similar purge criteria for the actual data that resides in the Oracle database tables.</p> <p>Additionally, hard copies of various items (files, audios, videos, photographs, etc.) that aren't scanned into Imaging are purged yearly in accordance with the retention schedule.</p>	<p>Yearly. See response to first question.</p>	<p>No.</p>	<p>No.</p>

	What are your guidelines for purging UI Data?	How often do you purge UI data?	Do you archive the purged data?	Is the archived data available in the future if needed?
<p>NEVADA Doug Wells DCWELLS@nvdetr.org</p>	<p>We are not purging employer and contributions data at this time. Nevada did purge employer and contributions data in the past. However, due to the added benefit tiers of late, that process has been suspended to ensure all needed data is available. Below are Nevada's responses for benefits data.</p> <p>UI Benefits:</p> <p>Up until late 2009 the data was kept for 3 years, 5 years, or 'forever', all depending on the applicable business rules. I believe the 'forever' data relates to claimants who have had legal issues. The business rules were changed in late 2009 to allow the parent claim to stay around longer due to the many extensions for a claim. I believe the data is now kept on the OLTP for 7 years but I am not sure how that seven years is broken out. Possibly that now equates to 5 years, 7 years, or 'forever'.</p> <p>If needed, ISA would be the ones to provide the specific business rules relating to purging/archiving.</p>	<p>Quarterly</p>	<p>Yes - to tape.</p>	<p>Yes - up to 5 years</p>
<p>NEW JERSEY Ronald L. Marino Assistant Commissioner 609-292-7586 Ronald.Marino@dol.state.nj.us</p>	<p>See separate sheet for purge criteria.</p>	<p>In the past every 3-5 years. As of 2009, we purge every year</p>	<p>We do archive the purged data in History records.</p>	<p>Yes, we have commands to request old claims or wage records. It takes 2/3 days to get them.</p>

	What are your guidelines for purging UI Data?	How often do you purge UI data?	Do you archive the purged data?	Is the archived data available in the future if needed?
OHIO Jason Turner System Support Section Chief 614-466-9232 Jason.Turner@jfs.ohio.gov	We have a relatively new unemployment compensation benefits system, Ohio Job Insurance (OJI), that was implemented in 2004. Although in the design of the system, the purging of data was discussed and debated, we have not implemented any purging criteria in our system. When our business and information technology staff agrees to prioritize such a purging effort for OJI, we would solidify our guidelines at that time. Right now, no such functionality exists and rules have not been formally written and approved.	We currently do not purge UI data from our benefit's system.	We do archive our UI data in lieu of purging (remove forever) the data. We do have rules for archiving UI data and the records are retrievable upon request from the business.	If the archived data (not purged) is needed, we do have a retrieval process in place to bring the individual claim data back to an active status.
OREGON Marc Heatherington Operations Analyst 503-947-1650 marc.g.heatherington@state.or.us	Oregon holds UI data for a minimum of three years from date of the most recent activity. At that point, UI data is maintained until the servers are full.	Currently, we purge as needed when our servers are full. Our goal is to set up a bi-annual automated process.	Yes	Archived data is saved for 7 years. Staff is able to restore single records as needed.
PENNSYLVANIA Mary Lynn Kowalski Application Developer Administrator 717-787-7528 mkowalski@state.pa.us	Normally based on BYE + 2 years and date of last claim activity. The rules have been changed since the inception of the 08/09/10 EUC extensions to accommodate retaining records as active for a longer period.	Daily		
RHODE ISLAND Carol Gibson Chief of Labor and Training Operations 401-462-8407 cgibson@dlt.ri.gov	Rhode Island does not purge UI data from our AS-400 claims filing system.	We do not purge UI data	N/A	N/A

	What are your guidelines for purging UI Data?	How often do you purge UI data?	Do you archive the purged data?	Is the archived data available in the future if needed?
SOUTH CAROLINA Vickie Sanders SC Department of Employment and Workforce UI Technical Service TRA Coordinator Ph:(803) 737-3071 Fax:(803)737-0286 VSanders@dew.sc.gov	<p>For the state of SC UI Benefit records are kept for up to six years and are purged as needed and once purged can not be viewed.</p> <p>Wages records we can go back as far as 1995 and Tax records back to 1990. Normally wage records and tax records are not purged but when we converted over to our new system that is what was kept. Please see attachment for local office procedures.</p>			
SOUTH DAKOTA Sharon Schnabel Deputy UI Director 605-626-2452 Ext 4235 Sharon.Schnabel@state.sd.us	<p>We purge UI claims from our computer system to tape 18 months after the benefit year end of the claim. UI data on tape is kept for 7 quarters.</p>	<p>We purge quarterly for both the computer records and the taped records.</p>	<p>UI data purged to tape is kept for 7 quarters and then purged from tape.</p>	<p>Yes</p>
TENNESSEE Melinda Boner UI Programmer/Analyst Supervisor (615) 253-7684 Melinda.Boner@tn.gov	<p>Records are scrutinized to determine if they meet the purge criteria as pre-determined by Agency and IT staff. These are the standard guidelines that the purge job follows:</p> <p>The BYE of each record is compared to a "purge date" that is input data into the program. The program does not purge the UI Benefit History if:</p> <ul style="list-style-type: none"> Record is determined to be Interstate-Combined Wage (CW) and the current processing date is greater than the edited BYE Record has Appeal record attached and outcome is unresolved/undecided; additionally if Appeal record indicates attached Chancery Court Order record is not purged TRA claim is attached to UI claim RESA/Profile record is attached and Status = "In Training" and/or Service-Planning-Track record has an established date after a date specified by Agency staff Overpayment record is attached and the Overpayment BYE equals the UI BYE 	<p>Historically we run purge programs every 2 years or as warranted. However, with the increased record volume we anticipate this to be a more frequent event. The DBA Team monitors the system for storage and volume issues.</p>	<p>Yes - data is stored off onto cartridges - approximately 7 cycles are kept</p>	<p>Yes - We have a batch program that can restore records if necessary</p>

	What are your guidelines for purging UI Data?	How often do you purge UI data?	Do you archive the purged data?	Is the archived data available in the future if needed?
UTAH Chris Reed Program Specialist 801 526-9703 creed@utah.gov	Utah put our CUBS system into production in 2006. As of this date, we have not had a need to purge data. We do not anticipate having a need to purge data in the near future.			
VERMONT Pat McCabe IT Director 802-828-4269	The normal process was that the Benefit year was more than 3 years old and there was no overpayment owed.	We were doing it once a year. With all of the extensions we have not done a purge in the past two years but are looking at doing something soon.	Yes	Yes
WASHINGTON Mike Juhl Information Technology Specialist 5 360-486-3250 mjuhl@esd.wa.gov	Purge requirements are varied and specific to the type, purpose and inter-relationships of the particular data, data elements or files, but the primary driver of what is purged is the age of the data (or claim the data applies to); the minimum is 2 years old while other data is retained for up to 7 years. A majority of the data is retained for at least 4-5 years in the active database.	Based on past and current UI Priorities every 4-5 years.	Yes, Purged Data is archived in multiple ways; short term archiving is done in a test environment (3-6 months) while long-term (7-10 years+) archiving is saved to either the Imaging database and/or to physical media (in the most recent purge, data was stored on a series of DVDs).	Yes; the long-term archive (either imaged or DVDs) are available for review.
WEST VIRGINIA Ronald Brotherton Programmer/Analyst 304-558-4046 ext 2170	Do not purge if: <ol style="list-style-type: none"> 1. The BYE of the claim is within the last 3 years. 2. UI checks issued in the current or prior year. 3. Child support or federal taxes were deducted in the current or prior year. 	About every 3 years.	Yes	Yes

	What are your guidelines for purging UI Data?	How often do you purge UI data?	Do you archive the purged data?	Is the archived data available in the future if needed?
	<ol style="list-style-type: none"> 4. An active issue is found with an establish date within the last 3 years. 5. An issue code 29 (labor dispute) is found with an establish date within the last 5 years. 6. An unresolved appeal is found. 7. An overpayment connected to the claim has a balance. 8. An overpayment connected to the claim has cash recoveries entered within the last 3 years. 9. An overpayment connected to the claim reached the statute of limitations within the current month. 10. An overpayment connected to the claim has offsets from a claim that is not purgeable. 			

INDIANA PURGE AND DATA SELECTION SUMMARY

Given the number of claimants currently being flagged by Data Smoothing it is clear that, given the results generated by any of the recent smoothing runs, we cannot go-live without drastically reducing these numbers.

When a smoothing flag is applied, it shuts down all processing for any claim filed using that Social Security Number (SSN). Even using the most favorable results compiled during smoothing runs processed since July 2010, over 10 percent of our customers that are currently claiming benefits could not be paid until manual intervention is taken on each individual claim. While it is our hope to reduce these numbers in other ways, one approach of eliminating a number of flagged claims would be to reduce the number of claims converted into the Core system.

One suggestion for reducing the number of converted claims would be to purge long-exhausted claims from the legacy database, removing the need to flag any associated SSN. This would be limited to claims that are past the end of the benefit year, and are no longer payable.

A second suggestion would be to leave claims that are unlikely to need additional processing in legacy, but not select them for conversion into the Core system. By leaving them in legacy, we have a record of all transactions on the claim prior to go-live so that BPC and other units that work on older claims would not need to have the claim restored in order to complete an investigation.

While these suggestions will primarily affect claims flagged in the medium to low category, as EEUC claims roll off the database, some of the claimants ranked as critical will also be affected.

Listed below are the specific changes to the conversion criteria we are suggesting and the potential risks associated with each of the suggestions.

Changes to the Purge Criteria

Criteria	# Old Crit.	# New Crit.	Additional Claims Eligible for Purge *
No Overpayment- No BPC activity during the prior 18 Months- Change to 12 Months	102,472	80,650	21,822
All pending issues or appeals must be 3 Years or older	59,756	N/A	N/A
No issues processed during the past 12 Months- Change to 3 Months	777,612	220,141	557,471
No wage credit penalties in the chain of claims attached to the parent (No change)	90	90	---
No charges posted during the past 6 Months- Change to 3 Months	443,262	247,603	195,659
TRA claims (and family) must have an adversely affected separation date 2 years or older (No Change)	101	101	---

* It should be noted that many of these criteria overlap. That means that simply because an individual no longer meets one of the criteria, it does not mean definitively that it will meet all the other criteria.

As EEUC claims continue to exhaust and the EB program triggers off, more EUC claims could be purged, which will further help reduce claim flags. Approximately 80 percent of the anomalies found in smoothing are on EEUC claims.

Overpayments

This criterion ensures that claims with overpayments attached remain on the database, and that claims that have active investigations remain in Core.

Benefit to changing criteria

Many of these older claims have UI, EEUC, and EB claims attached. By adjusting the criteria we can purge a number of the child claims that have not been balancing during smoothing.

Risk to changing criteria

The risk is low. All active claims being investigated will remain in legacy and have already been established in the current Benefit Payment Control case management system. If they wish to establish an investigation on a purged claim, the information needed will still be accessible through microfiche.

Pending issues or Appeals

This criterion ensures that Adjudication and Appellate cases that are in process do not get purged prior to completion.

Benefit to changing criteria

We question the wisdom of keeping issues that are three years old as active. From the adjudication perspective, many of these issues are on claims with no balance, others had prior suspensions that needed to be lifted before the claimant could become eligible, and others reopened claims and filed no additional weeks of benefits. At this point, neither claimants nor employers have been inquiring, meaning that these are essentially dead issues. At this point fact-finding and resolving issues on claims filed as far back as October of 2005 make no sense.

The appellate issues are a different matter. In reviewing some of these cases it was revealed that in some cases appellate decisions were issued, yet the outcome was not entered into the legacy system. By now, these individuals have moved to EEUC and EB claims, meaning that if a decision is entered at this point, large overpayments could be the result.

The benefit for purging these claims is that they have long been expired, and could have no additional activity to process unless these issues are reopened. Since the older EEUC and EB claims have a high percentage of mismatches, purging these claims should result in a reduction of flagged Social Security Numbers.

Risk to changing criteria

If a claimant or employer inquiry requires these issues to be resolved, we have to be able to move them to Core to make payment.

No issues processed during the past 12 Months

The criterion ensures that separations with penalties falling in the lag period are available for resolution on subsequent claims.

Benefit to changing criteria

The fewer older claims we convert, the fewer claims we will have with problems requiring flags.

Risk to changing criteria

There may be some lag period penalties that are not automatically carried over to a subsequent claim.

Wage credit penalties

We are suggesting no change to the existing criterion.

No charges made during the past 6 months

The criterion only applies to claims that are past the Benefit Year End date and have no outstanding issues. It ensures that staff investigating charge complaints have ample opportunity to resolve the issue prior to the time the claim is purged.

Benefit to changing criteria

The fewer older claims we convert, the fewer claims we will have with problems requiring flags.

Risk to changing criteria

There is little to no risk to changing the criteria. Even if an objection to an old charge is raised by an employer, legacy will be available to use when needed.

TRA Claims

We are suggesting no change to the existing criterion.

Data Selection Criteria

Another suggestion in regards to data retention is to leave data available in legacy without purging the claims altogether. This will allow us keep the claims intact for federal audits, while removing the need to convert them into Core.

All EEUC claims are being moved into the Core Application at this time. By leaving only those claims that have exhausted all possible benefits and haven't had a payment issued during the past 3 month, we can eliminate 54,537 EEUC claims from being smoothed. Since EEUC claims are the most likely we have to cause flagged claims, this adjustment could lead to a sizable decrease in flagged claims.

For REG claim selection, changed BYB from 10/1/08 or less to 4/1/09 or less

For EUC claim selection, added PED of 6/30/10 or less, and...

- tier 4 is exhausted
- there is no pending fraud issue
- there is no outstanding overpayments

For EB claim selection, added PED of 6/30/10 or less, and...

- claim is exhausted
- there is no pending fraud issue
- there is no outstanding overpayments

Using the same August snapshot, the following numbers changed. Overall, the selection universe will be 11.1% smaller as a result.

Claim Type	Before	After	Difference
Pseudo Claims	84,889	71,041	13,848 (16.5%)
REG Claims	947,217	873,739	73,478 (7.8%)
EUC Claims	348,218	293,681	54,537 (15.7%)
EB Claims	60,427	41,167	19,260 (31.9%)
TRA Claims	7,096	7,094	2 (0.3%)

Summary

Changing the criterion as suggested is a low risk, medium reward proposition. We will get rid of a number of claims that are causing conversion/data smoothing problems with a low risk to impacting business operations.

The issue that will require management approval will be the one dealing with open issues. We already have a list that we can turn over to the users if they wish to take a crack at them.

NEW JERSEY

LOOPS PURGE CRITERIA 2009

REGULAR Purge – Claims that meet the following criteria will be purged from the Production to the History database:

01. Date of Claim (DOC) < 1/1/06 and CCI \geq zero (0), \neq six (6)
02. Disqualification End Date \leq 1/1/06
03. Tax Year One < 2006 and Tax Amount > zero (0)
-or-
Tax Year Two < 2006 and Tax Amount > zero (0)
04. DOC < 1/1/06 and Current Claim Indicator (CCI) = one (1)
and Disqualification End Date = 999999
05. Claims meeting conditions 1 through 4 above will then have one more test to pass before being eligible to be purged. No claims will be purged if there exists a Refund Claimant for the given SSN. A check for the SSN with a zero PC and zero DOC will be done. If a refund claimant exists the claim will NOT be purged.

HISTORY Purge

Date of Claim (DOC) < 1/1/04

Rationale

- The goal of the purge process is to reclaim space on the IMS databases.
- Another goal is to reduce the chances of incorrectly purging too much data due to overly complex rules and programming errors.
- Another goal is to reduce the risk of having to bring back claims that were purged.
- Claimants that have refunds are more likely to have activity on older claims. I am proposing that we NOT purge any claims that have refunds. This limits the risk of having to recall claims from history that may require activity.
- Preliminary testing confirms that we can reclaim sufficient space with the purge criteria listed above.
- This simplified purge process will eliminate the problems associated with the 2005 purge.
- I am also proposing that we do this purge on an annual basis. We can keep the criteria the same and just change the dates. The program can use a control card to input the purge dates so that no programming will have to be done in subsequent years.

Tony End
12/23/2009

- This simplified purge process will be much easier to test.
- I based this document on the 2005 purge document and made revisions.

*Note: All Purge Test Reports should list records by Purge Criteria and then ascending SSN order, not by Local Office

SOUTH CAROLINA EMPLOYMENT SECURITY COMMISSION
COLUMBIA, SOUTH CAROLINA

S C. STATE EMPLOYMENT SERVICE

UNEMPLOYMENT INSURANCE
DIVISION
UNEMPLOYMENT INSURANCE
INSTRUCTIONS NO. G-32

MARCH 1989 DISPOSITION OF RECORDS AND DOCUMENTS Federal and state laws and Agency procedures require documents held in local unemployment offices to be retained for varying lengths of time. These requirements are listed below:

DISPOSITION OF CLAIM RECORD CARDS PURGE DATE

UI Claim- Valid 2 years after benefit year ends (Includes Combined Wage) or 6 months after the last action on the claim, whichever is later.

UI Claim - Invalid 1 year after the effective date or last action, whichever is later.

UCX, UCFE, JOINT Claim Three years after the benefit (Federal Military, Federal year ends or final action Civilian Wages) (including appeals and court action), whichever is later.

Extended Program Claim Three years after the benefit (EBB, FSC, etc.) year ends or final action (including appeals and court action), whichever is later.

TRA Claim Three years after the benefit year end or final action (including appeals and court action), whichever is later.

DUA Claim Three years after the benefit year ends or final action (including appeals and court action) whichever is later
Interstate Claim Follow procedure for appropriate program outlined above.

UNEMPLOYMENT INSURANCE
INSTRUCTION NO. G-32

DISPOSITION OF MAIL CLAIM DOCUMENTS

UCM-10 Three years after batch date.

UCB-303 (UI ONLY) Retain form most recent (Report of Work Seeking Eligibility Review until Activity) completion of subsequent Eligibility Review.

UCB-303 (Extended Programs) Retain until record is purged(see Claim Record Card Disposition Above.)

DISPOSITION OF REPORTS AND DOCUMENTS PURGE DATE

UCB-528 (Returned Checks) 1 year after submission of original to Reconciliation Unit.

Error and Issue Reports 1 month after reconciled with records.

UEM-500 1 month

UEM-590 Mass Claim Report 1 month after reconciled.

All other reports received by the local office which have no legal requirement for retention may be disposed of whenever the local office feels that they are no longer useful.

Attachment

None

Instructions for Manual Maintenance

File in Section General -- G

Remove old G-32 and insert new G-32 dated March 1989



Agency Records Disposition Schedule

Department: Department of Labor and Industrial Relations

Section: Employer Contributions Section

Division: Division of Employment Security

Sub-Section:

TITLE: Benefit Charge Statement

CUTOFF: EOSFY or resolution of controversy

DESCRIPTION: Documents relating to unemployment charges to employers' accounts and any necessary resolution of disputed charges and related correspondence.

RETENTION: Years: 5 Months: Days:

NOTES:

DISPOSITION ACTION: Destroy

SERIES #: 22870

SERIES STATUS: Approved

APPROVAL DATE: 12/17/2008

TITLE: Daily Bank Deposit Slips

CUTOFF: EOSFY

DESCRIPTION: Used to record unemployment insurance tax money deposited into the Division of Employment Security clearing account.

RETENTION: Years: 5 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES #: 6741

SERIES STATUS: Approved

APPROVAL DATE: 12/17/2008

TITLE: Employer Contribution Files

CUTOFF: Close of account

DESCRIPTION: Contains reports on Employment Experience, Reciprocal Agreements, Notice of Determinations, Legal Determinations, and supportive documents relating to each employer's account.

RETENTION: Years: 5 Months: 0 Days: 0

NOTES: Earlier files may exist on microfiche.

DISPOSITION ACTION: Destroy

SERIES #: 6729

SERIES STATUS: Approved

APPROVAL DATE: 12/17/2008

TITLE: Employer Unit Status Reports - Not Liable

CUTOFF: Close of investigation

DESCRIPTION: Relates to employers who have not established liability under RSMo Chapter 288. Once the division decides that the business is not subject to the law, the division closes the file.

RETENTION: Years: 2 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES #: 6727

SERIES STATUS: Approved

APPROVAL DATE: 12/17/2008



Agency Records Disposition Schedule

Department: Department of Labor and Industrial Relations
Division: Division of Employment Security

Section: Employer Contributions Section
Sub-Section:

TITLE: Employer Wage Report Files

DESCRIPTION: Contribution and wage reports and supporting documents.

CUTOFF: End of calendar quarter or appeal

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES #: 6730

SERIES STATUS: Approved

APPROVAL DATE: 12/17/2008

TITLE: Employer's Experience Rating Statement and Notice of Contribution Rate

DESCRIPTION: These documents are mailed to employers to establish their annual tax rate.

CUTOFF: EOY

RETENTION: Years: 4 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES #: 6732

SERIES STATUS: Approved

APPROVAL DATE: 12/17/2008

AGENCY RECORDS DISPOSITION SCHEDULE
Compiled in accordance with Chapter 109 RSMo. 1978

OFFICE CODE NO.		
12	06	17

Agency Division of Employment Security

Division Employer Contributions Section Agency Concurrence _____ Date 1-2-88

Agency address P. O. Box 59 By _____ Agency Director Signature _____

City Jefferson City, Missouri 65104

STATE RECORDS COMMISSION APPROVAL

In compliance with SEC. 109.250, RSMo 1978 this document is hereby approved

On APR 11 19 88

By Ray D. Bunt
Chairman of the Commission

CODE ABBREVIATIONS

- | | | | |
|-----|--|-----|--|
| CSA | Completion of State Audit. Records so designated are to be retained until they have met the audit requirements. Ninety (90) days after the audit report is received these records can be destroyed or returned to your agency. | PR | Permanent Retention. Records so designated are to be retained permanently because of their archival, legal, administrative, or fiscal value. |
| DCA | Destroy In Current Area. Records so designated should be destroyed in current office area when they no longer have reference value. | MFD | Microfilm and Destroy. Originals are to be returned or destroyed 90 days after receipt of film. |

THE RECORDS CENTER WILL NOT ACCEPT ANY RECORD UNTIL IT REACHES ITS SECOND ANNIVERSARY.

ITEM Number	DESCRIPTION OR TITLE OF RECORD SERIES (Brief Description of each Item)	Current Area Retention	Record Center Retention	Total Retention
1.	General Correspondence	DCA		DCA
2.	General Correspondence Relating to Management, Financial or Policy Matters	2 yrs.	1 yr.	CSA/FR*
3.	Records Management File - contains agency records disposition schedule and revisions, transmittals, certificates of destruction and correspondence.	DCA		DCA
4.	Monthly Time Distribution Reports	2 yrs.	1 yr.	CSA/FR*
5.	Application For Leave	2 yrs.	1 yr.	CSA/FR*
6.	Employing Unit Status Reports - All material relating to Employers that have not established liability under Missouri Law	3 yrs.	after close of year covered by Reports	
7.	Employer Account FICHE Files - Contains Report on Employment Experience, <u>Reciprocal Agreements</u> , Notice of Determinations, <u>Legal Determinations</u> and <u>supportive documents</u>	PR		PR
8.	Employer Accounts Files - Contribution Reports, Debit and Credit Memorandums and Related Correspondence	MFD - Purge 4 yrs.	after calendar quarter covered by the reports	
9.	Wage Report File	MFD - Purge 4 yrs.	after the quarter covered by the reports	
10.	Employer's Experience Rating Statement and Notice of Contribution Rate	MFD - Purge 4 yrs.	after date of issue	

* FR Federal Regulations, 3 years

OFFICE CODE NO.		
12	06	17

SSRM 2-8
(REV. Oct. 1982)

AGENCY Div. of Employment Security DIVISION Employer Contributions Section

ITEM Number	DESCRIPTION OR TITLE OF RECORD SERIES (Brief Description of each Item)	Current Area Retention	Record Center Retention	Total Retention
11.	Closed Account File - Contains Compromise Settlement or Uncollectible Accounts	MFD		MFD
12.	Microfilm of Items 7, 8, 9, 10, and 11 (Security Film at State Records Center)	PR		PR
13.	Public Service Employment File - Wage Reports	4 yrs. after the calendar quarter covered by the report		
14.	Employer Account File Material that does not lend easily to microfilming	4 yrs. after the calendar quarter covered by the report		
15.	Material Control Card Files used by Determination Unit, Status Unit and Collections Unit to control specific mailing	DCA		DCA
16.	Cash Register Book - Contains Entries of cash payments made to the Division	2 yrs.	1 yr.	CSA/FR*
17.	Reference and Printed Material	DCA		DCA
18.	Contracts and Agreements Not of a Financial Matter	Term of Contract plus CSA/FR*		
19.	Daily Bank Deposit Slips	2 yrs.	1 yr.	CSA/FR*
20.	Wage Reports - MODES-4 and MODES-10A	2 yrs. after due date of report		

AGENCY RECORDS DISPOSITION SCHEDULE
Compiled in accordance with Chapter 109 RSMo. 1978

OFFICE CODE NO.		
12	06	03

Agency Division of Employment Security
 Division Data Processing Section
 Agency address P. O. Box 59
 City Jefferson City, Missouri 65104
 Agency Concurrence 1-26-88
 By [Signature] Date 1-26-88
 Agency Director Signature

STATE RECORDS COMMISSION APPROVAL

In compliance with SEC. 109.250, RSMo 1978 this document is hereby approved

On Apr 11 19 88

By [Signature]
Chairman of the Commission

CODE ABBREVIATIONS

- CSA Completion of State Audit. Records so designated are to be retained until they have met the audit requirements. Ninety (90) days after the audit report is received these records can be destroyed or returned to your agency.
- DCA Destroy In Current Area. Records so designated should be destroyed in current office area when they no longer have reference value.
- PR Permanent Retention. Records so designated are to be retained permanently because of their archival, legal, administrative, or fiscal value.
- MFD Microfilm and Destroy. Originals are to be returned or destroyed 90 days after receipt of film.

THE RECORDS CENTER WILL NOT ACCEPT ANY RECORD UNTIL IT REACHES ITS SECOND ANNIVERSARY.

ITEM Number	DESCRIPTION OR TITLE OF RECORD SERIES (Brief Description of each Item)	Current Area Retention	Record Center Retention	Total Retention
1.	General Correspondence	DCA		DCA
2.	General Correspondence Relating to Management, Financial & Policy	2 yrs.	1 yr.	CSA/FR*
3.	Records Management File - Contains agency records disposition schedule and revisions, transmittals, certificates of destruction and correspondence	DCA		DCA
4.	Monthly Time Distribution Reports	2 yrs.	1 yr.	CSA/FR*
5.	Application for Leave	2 yrs.	1 yr.	CSA/FR*
6.	Internal Requisitions for Equipment & Supplies (copies) Originals in Office Services Section	DCA		DCA
7.	Operating Procedures - Manuals and Directives (copies) Originals in Administrative Analysis Section	DCA		DCA
8.	Technical Manuals	DCA		DCA
9.	Operating Systems, System Control Programs, Compilers and Utilities Program Documentation	2 yrs.	PR	PR
10.	Reference and Printed Material	DCA		DCA
<u>TAPE FILES</u>				
11.	Local Office Name, Address Profile	PR Until	Updated	
12.	Report of Employment, Wages and Contributions - ES-202 Files	PR Until	Updated	

AGENCY Div. of Employment SecurityDIVISION Data Processing Section

ITEM Number	DESCRIPTION OR TITLE OF RECORD SERIES (Brief Description of each Item)	Current Area Retention	Record Center Retention	Total Retention
13.	Supply Master Files	PR Until	Updated	
14.	Occupational Employment Statistics System Files	PR Until	Updated	
15.	Employers Standard Industrial Classification File	PR Until	Updated	
16.	Occupational Safety and Health Files	PR Until	Updated	
17.	Current Employment Statistics Files	PR Until	Updated	
18.	Labor Turnover Statistics Files	PR Until	Updated	
19.	General Ledger Files	PR Until	Updated	
20.	Property Files	PR Until	Updated	
21.	Electronic Data Processing Equipment Files	PR Until	Updated	
22.	Time Distribution Files	PR Until	Updated	
23.	Year to Date Disbursements & Expense Accounts Files	PR Until	Updated	
24.	Equivalent Position Files - Accumulated Equivalent Positions for Each Fund Ledger Used During the Fiscal Year	PR Until	Updated	
25.	Personnel History Files	PR Until	Updated	
26.	Personnel Staffing Files	PR Until	Updated	
27.	Applicant Master Files	PR Until	Updated	
28.	Applicant Services Files	PR Until	Updated	
29.	Job Order Files	PR Until	Updated	
30.	Job Order History Files	PR Until	Updated	
31.	Employer Information System Employer Master File	PR Until	Updated	
32.	Comprehensive Employment and Training Act Youth Master File	PR Until	Updated	
33.	Employment Security Automated Reporting System Job Order File	PR Until	Updated	

AGENCY Div. of Employment Security DIVISION Data Processing Section

ITEM Number	DESCRIPTION OR TITLE OF RECORD SERIES (Brief Description of each Item)	Current Area Retention	Record Center Retention	Total Retention
34.	Employment Security Automated Reporting System Master Services File	PR Until	Updated	
35.	Employer Account File	PR Until	Updated	
36.	Monetary Delinquent File	PR Until	Updated	
37.	Contributions Report Due File	PR Until	Updated	
38.	Delinquency Control File	PR Until	Updated	
39.	Contribution Reports Suspended Files	PR Until	Updated	
40.	Employer Rate Files	PR Until	Updated	
41.	Employer Alpha Index Files	PR Until	Updated	
42.	Successor and Predecessor Files	PR Until	Updated	
43.	Experience Rating Files	PR Until	Updated	
44.	Audit Files	PR Until	Updated	
45.	Employer Name & Address Files	PR Until	Updated	
46.	Federal Employers Identification Number Files	PR Until	Updated	
47.	Uncollectible File	PR Until	Updated	
48.	Certification Files	PR Until	Updated	
49.	Prior Years Inactive Files	PR Until	Updated	
50.	Closing Accounts Files	PR Until	Updated	
51.	Common Data File - Contains Characteristic Data for All Claimants who have filed benefit claims within the last five years	PR Until	Updated	
52.	Claim Control File	PR Until	Updated	
53.	Initial Claim Files	PR Until	Updated	
54.	Continued Claim Files	PR Until	Updated	
55.	Claim Wage Files	PR Until	Updated	
56.	Issues File - Contains All Unresolved Issues Related to Benefit Claims	PR Until	Updated	

AGENCY Div. of Employment SecurityDIVISION Data Processing Section

ITEM Number	DESCRIPTION OR TITLE OF RECORD SERIES (Brief Description of each Item)	Current Area Retention	Record Center Retention	Total Retention
57.	Renewal and Employer Notice Files	PR Until	Updated	
58.	Non-Monetary Files	PR Until	Updated	
59.	Suspended Claim Files	PR Until	Updated	
60.	Wage Cancellation Files	PR Until	Updated	
61.	Comprehensive Employment and Training Act Check Files	PR Until	Updated	
62.	Pending Payorder Files	PR Until	Updated	
63.	Disaster Unemployment Assistance Claims Files	PR Until	Updated	
64.	Trade Act Claims Files	PR Until	Updated	
65.	Base Period Files - Contains Prior Quarters of Wages Reported by Employers for Use in Determining Benefit Entitlement	PR Until	Updated	
66.	Benefit Charge Summary Files	PR Until	Updated	
67.	Overpayment Files	PR Until	Updated	
68.	Unemployment Insurance Check Files	PR Until	Updated	
69.	Contracts and Agreements Not of a Financial Nature	Term of CSA/FR*	Contract plus	