



DEPARTMENT OF EDUCATION AND EARLY DEVELOPMENT
 Division of Libraries, Archives and Museums
 Archives and Records Management Services
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STATE OF ALASKA

Schedule Number: 71406

Agency ID #: 236

RECORDS RETENTION SCHEDULE

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DEPARTMENT OF LABOR & WORKFORCE DEVELOPMENT

EMPLOYMENT SECURITY DIVISION

EMPLOYMENT SECURITY TAX

DIVISION OF FINANCE
 OCT 9 1 2007

KEY

- A - After Audit
- CFY - Current Fiscal Year
- CY - Current Year
- P - Permanent
- C - Current/or as defined
- Numerals - Years in addition to current year
- TO - Term of Office
- S/M - After Scanning/ Microfilming

The Agency will follow retention periods for common records as listed in the State of Alaska General Administrative Records Schedule #100.2, unless those records have been listed on this schedule.

Unless otherwise noted all records are retained on **Fiscal** year basis.

All records that have potential permanent legal and historical value may be reviewed by the State Archivist for possible retention in the Alaska State Archives in accordance with AS 40.21.030. Accessioned records may be reappraised for permanent value every four years or at the archivist's discretion.

Unless otherwise noted all records series are confidential under AS 23.20.110. This records schedule supercedes #71405 (Desk Audit Unit), #71206 (Accounting Unit), #71604 (Registration Unit), and #71805 (Support Unit).

Statutory Authority: The Alaska Employment Security Act, AS 23.20.

The mission of the Division is to promote employment and economic stability by responding to the needs of employers and job seekers.

NOTE: Under 4 AAC 59 it is the responsibility of departments to ensure that records created and maintained in electronic systems remain accessible for their prescribed retention period. This requires taking into account the issues of refreshing, migration, security duplicates; and, analog/digital crosswalks in planning, implementing, and administering the electronic system. Back-ups produced for system recovery purposes do not serve a recordkeeping function and do not substitute for security copies of records.

Pursuant to the provisions of AS 40.21 and 4 AAC 59, the records listed below are approved for retention and disposition as indicated.

Division Director	State Archivist		Date	Attorney General	Date
Thomas W. Nelson, Ed.D	<i>[Signature]</i>		10-4-07	<i>[Signature]</i>	9/24/07
Signature of Division Director/Designee	Date	Records Analyst	Date	Commissioner of Administration	Date
<i>[Signature]</i>	8/16/07	<i>[Signature]</i>	8-8-07	<i>[Signature]</i>	10/2/07

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		Retention		Disposition			
Item No.	Records Series Title and Description	Office	Records Center	State Archives	Destroy	Vital Record	Remarks
1	<p>Employer Contribution Report (Original):</p> <p>(Electronic): This series consists of quarterly reports filed by employers under AS 23.20. Each batch consists of batch header, quarterly contribution report form and wage detail. Quarterly Contribution reports are filed by employers or employer representatives on the employment Security Tax website at www.labor.state.ak.us\estax using TaxWeb. Includes the amendment of a pre-existing Quarterly Contribution reports.</p> <p>Arranged numerically by batch sequence number.</p>	<p>S+60 Days</p> <p>P</p>	-	-	<p>S+60 Days</p> <p>-</p>		<p>S=Documents are scanned into the Employment Security Tax System; destroy originals after images have been certified/verified as "true and correct," and 60 days have passed.</p> <p>Data files are archived to departmental internal server according to established data processing policies and procedures.</p> <p>Image Format: Adobe PDF</p>
2	<p>Employer Contribution Payments (Checks):</p> <p>(Electronic): Payments made by employers to be applied toward charges against their Alaska Unemployment Insurance Tax account and then deposited electronically using a remote depositor. The paper check is then stored until reconciliation against bank records has occurred. Employers pay using an electronic fund transfer on the Employment Security Tax website at www.labor.state.ak.us\estax using TaxWeb. The application is for the purpose of paying charges against the Alaska Unemployment Insurance Employer Tax account under AS 23.20.</p>	<p>4 Mo.</p> <p>45 Days</p>	-	-	<p>4 Mo.</p> <p>45 Days</p>		<p>Destroy paper check after current month of the deposit, plus one additional month.</p> <p>Data is archived on departmental server according to data processing policies and procedures.</p>
3	<p>Employer Registration (Original):</p> <p>(Electronic): The employer registration form filed by employers or employer representatives under AS 23.30 to establish an Alaska Unemployment Insurance Tax account. Information received is not limited to departmental registration forms, may include correspondence describing the structure of an operating business to provide detail on the tax liability of employer. The employer registration data is filed via www.labor.state.ak.us\estax using TaxWeb to establish an account or change an existing account. Arranged numerically by employer account number.</p>	<p>S</p> <p>5</p>	-	-	<p>S</p> <p>5</p>		<p>S=Documents are scanned into the Employment Security Tax System; destroy originals after images have been certified/verified as "true and correct."</p> <p>Data files are archived to departmental internal server according to established data processing policies and procedures.</p> <p>Image Format: Adobe PDF</p>

Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
4	<p>Employer Correspondence (Original):</p> <p>(Electronic): Consists of correspondence received from an employer or an employer representative containing information pertinent in establishing an Alaska Unemployment Insurance Tax (AUIT) account or changing an existing account. This series includes correspondence received from businesses authorizing the Employment Security Tax office to issue warrants made payable to and/or sent to an alternative source other than what is reflected on the AUIT account for the business. Includes changes made to accounts via www.labor.state.ak.us\estax using TaxWeb.</p>	S 5	- -	- -	S 5	<p>S=Documents are scanned into the Employment Security Tax System; destroy originals after images have been certified/verified as "true and correct."</p> <p>Data files are archived to departmental internal server according to established data processing policies and procedures.</p> <p>Image Format: Adobe PDF</p>	
5	<p>Employer Annual Rate Charging (ERC) Reports:</p> <p>This series consists of the following reports arranged annually by employer account number:</p> <p>Final C Rated Employers Listing of Fiscal Year Wages A-B-C-D Accounts, 4-way breakdown Array for (CY) Report Master Rate listing Discrepancy Lists Table Record A&B</p>	2	-	-	2	<p>Output from departmental server to Octotools program.</p>	
6	<p>Employee Application for Refund:</p> <p>This series consists of all requests received from applicants for refund of overpayments of Alaska Unemployment Insurance Tax Contributions deducted by Alaska employers under AS 23.20.</p> <p>Arranged by year and then Social Security Number.</p>	2	-	-	2		

Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
7	<p>Employer Account Daily Adjustment File:</p> <p>Documents received from employers or employer representatives which require an accounting adjustment to the Alaska Unemployment Insurance Tax account. Document requests are not limited to employers or employer representatives and may include documents received from authorized agency representatives (i.e., Field Tax Auditors). This includes any system screen prints used in the adjustment of the employer tax account as backup and e-mail requests.</p> <p>Arranged chronologically by year/month/day.</p>	CY+2	-	-	CY+2		
8	<p>Redeemed Alaska Employment Security Tax Warrants (CD):</p> <p>Disbursement warrants issued from the Employment Security Division (ESD) Clearing-State of Alaska account once redeemed are imaged by the bank holding the ESD Clearing-State of Alaska account onto a CD-ROM and sent to the agency for storage.</p> <p>Arranged numerically by warrant number.</p>	C+7	-	-	C+7		C=Redemption date of the warrant.
9	<p>ESD Clearing and FNBA bank Account (Month-End Reconciliation Records):</p> <p>This series contains all bank transactions to the ESD Clearing-State of Alaska account and the First National Bank of Alaska-UI Clearing Account and any supporting correspondence and Employment Security Tax reports relevant in the monthly reconciliation of the Employment Security Tax Accounting Ledgers.</p> <p>Arranged chronologically by date (month/year).</p>	4	-	-	4		

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Retention

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Item No.	Records Series Title and Description	Office	Records Center	State Archives	Destroy	Vital Record	Remarks
10	<p>GENERAL ADMINISTRATIVE RECORDS:</p> <p>Includes administrative records related to Budget Preparation; General Accounting; Grant Management; Procurement, Leasing & Property; General Administrative; Personnel Administration; and, Information Technology.</p> <p>The Employment Security Tax Section will follow retention periods as listed in the General Administrative Records Retention Schedule (GRS).</p>	-	-	See GRS	See GRS		<p>All duplicate copies of records maintained on any media may be destroyed as soon as administrative/management need is met.</p> <p>The General Schedule may be accessed on the Records Management homepage. When transferring records to the records center, please refer to the relevant item number from the GRS.</p>