

STATE

GENERAL RECORDS RETENTION SCHEDULE

UPDATED 08/2016



SCHEDULE 1
ADMINISTRATIVE RECORDS

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ADMINISTRATIVE RECORDS

ACTIVITY REPORTS (Item 1-48)
Reports documenting work productivity of employees or an office.
Includes weekly activity or production reports, monthly activity reports, etc.

RETENTION
1 year or until resolution of issue

DISPOSITION

Destroy

(Approved 12/05)

ADMINISTRATIVE HEARING RECORDS (Item 1-2)
Records of hearings conducted as part of the regulatory process and hearings on proposed rules and changes; they may be maintained with related information including meeting notices, proofs of publications, meeting minutes, and the conclusions reached. UCA 52-4-200 (2009) requires that written minutes be kept of all open meetings. May include audio and video recordings.

RETENTION

5 years

DISPOSITION

Transfer to Archives

(Approved 07/90)

SCHEDULE 1
ADMINISTRATIVE RECORDS

ADMINISTRATIVE RULE RECORDS (Item 1-42)

Also known as the administrative record. Information an agency relies upon when making a rule under the Utah Administrative Rulemaking Act, Title 63G, Chapter 3, including copies of "(a) the proposed rule, change in the proposed rule, and the rule analysis form; (b) the public comment received and recorded by the agency during the public comment period; (c) the agency's response to the public comment; (d) the agency's analysis of the public comment; and (e) the agency's report of its decision making process." (Subsection 63G-3-102(1)) Also may include records and other information used by agencies to support rulemaking decisions. Agencies are required to file the administrative record along with their responsive pleadings with the court when the rule is challenged.

RETENTION

6 years

DISPOSITION

Destroy

(Approved 02/06)

AGENCY HISTORY RECORDS (Item 1-76)

These records document the organization and reorganization of governmental entities. Information includes history, functional information, organizational files and related records.

RETENTION

Permanent.

DISPOSITION

Transfer to Archives

(Approved 06/15)

SCHEDULE 1
ADMINISTRATIVE RECORDS

AMERICANS WITH DISABILITIES ACT REQUESTS FOR ACCOMMODATIONS (Item 1-57)

Requests received from the public for disability accommodations for state sponsored events. Information includes the requests for accommodations and the agency's response including accommodations made and other related documentation. For accommodation requests received from employees refer to Human Resource Section, ADA requests for accommodations.

RETENTION

1 year

DISPOSITION

Destroy

(Approved 10/01)

ANIMAL CONTROL RECORDS (Item 1-67)

These records are created during the conduct of animal control and shelter programs. Records include biting incidents, licenses, euthanasia, adoptions, investigations, citations, complaints and related records.

RETENTION

5 years after resolution of issue, expiration of license, or final action (see 21 CFR 1304.03 and 21 CFR 1301.13)

DISPOSITION

Destroy

(Approved 12/14)

CLOSED MEETING RECORDS (Item 1-60)

Recordings are required for the closed portion of meetings of a public body, except as provided by statute. The recording is the official record of a closed meeting (Utah Code 52-4-206(1)(a) and (2)(2014)).

RETENTION

Permanent.

DISPOSITION

May Transfer Archives

(Approved 07/14)

SCHEDULE 1
ADMINISTRATIVE RECORDS

CONFERENCE SPONSORSHIP FILES (Item 1-50)

Records created by an agency sponsoring a conference, workshop, or seminar. Information may include copies of conference agenda, programs, brochures, reports, advertising information for the conference, presentations, speeches, significant correspondence, and related material.

RETENTION

Permanent.

DISPOSITION

May Transfer Archives

(Approved 10/01)

EXECUTIVE INTERNAL COMMITTEE RECORDS (Item 1-79)

These records document meetings of boards, committees, or teams that have no statutory authority to make public policy decisions, but do have authority to make internal policy decisions. Information includes the determinations and actions of the meeting.

RETENTION

Permanent.

DISPOSITION

Transfer to Archives

(Approved 12/15)

FORMAL OPINION RECORDS (Item 1-75)

These are the formal legal opinions researched, written and published by attorneys. They are necessary to maintain consistency of opinion in related matters.

RETENTION

Permanent.

DISPOSITION

Transfer to Archives

(Approved 06/15)

SCHEDULE 1
ADMINISTRATIVE RECORDS

GOVERNMENT RECORDS ACCESS AND MANAGEMENT ACT (GRAMA) APPEALS (Item 1-68)
CASE FILES

These files document all appeals submitted to records appeals boards. These case files include requests, denials, appeals, decisions, and any other documentation concerning the appeals process.

RETENTION

Permanent.

DISPOSITION

May Transfer Archives

(Approved 12/14)

INFORMATION GOVERNANCE RECORDS (Item 1-66)

Records used in establishing and implementing records management policies, practices, and procedures. Included are inventories, finding aids, and related information.

RETENTION

Retain until superseded or final action

DISPOSITION

Destroy

(Approved 08/14)

INTERIM VERIFICATION FILES (Item 1-55)

Records documenting the interim verification of a license, certification, eligibility, or other temporary authorization until a final authorization can be produced. Records are used to verify authorization during the interim period. Information includes the period of interim authorization, names, addresses, identification numbers, official signatures, dates, verification numbers, and other relevant information.

RETENTION

6 months after final action

DISPOSITION

Destroy

(Approved 04/10)

SCHEDULE 1
ADMINISTRATIVE RECORDS

INTERNAL COMMITTEE RECORDS (Item 1-78)

These records document meetings of boards, committees, or teams that have no statutory authority to make public policy decisions. Information includes implementation of projects, programs or operational matters.

RETENTION

Retain until resolution of issue

DISPOSITION

Destroy

(Approved 12/15)

LEGAL COUNSEL RECORDS (Item 1-74)

These are legal interpretations given by attorneys at the request of governmental entities asking for guidance in enforcing, obeying, and/or interpretation of the law.

RETENTION

Retain until resolution of issue

DISPOSITION

Destroy

(Approved 06/15)

MANAGEMENT ANALYSIS/FEASIBILITY STUDIES (Item 1-10)

Studies and system analyses conducted before program change, the purchase, installation, or replacement of any technology or equipment. May include studies and systems analyses for the initial establishment, major changes for program, equipment, or technology changes.

RETENTION

5 years

DISPOSITION

Destroy

(Approved 02/06)

SCHEDULE 1
ADMINISTRATIVE RECORDS

OPEN MEETING MINUTES & PUBLIC MATERIALS (Item 1-59)

Approved minutes of an open meeting are the official record of the meeting of a public body. Contained in or with the minutes shall be the substance of all matters proposed, discussed or decided and votes taken (Utah Code 52-4-203(2014)). This includes the agenda, notices, and any public materials distributed at the meeting.

RETENTION

Permanent.

DISPOSITION

May Transfer Archives

(Approved 07/14)

OPEN MEETING RECORDINGS (Item 1-65)

Audio or video recordings document what transpired in open meetings of public bodies and are the official record of the meeting until the meeting minutes are approved (Utah Code 52-4-203(2014)).

RETENTION

3 years after approval of minutes

DISPOSITION

Destroy

(Approved 07/14)

OPERATIONAL POLICY AND PROCEDURE RECORDS (Item 1-71)

These records document implementation of official policies and procedures. They govern day to day operations, and routine business functions.

RETENTION

Retain until superseded

DISPOSITION

Destroy

SCHEDULE 1
ADMINISTRATIVE RECORDS

ORGANIZATIONAL FILES (Item 1-19)
Records detailing an organization, which could include charts, functional statements, reorganization studies. Also administrative maps that show regional boundaries and headquarters of decentralized agencies or that show the geographic extent or limits of an agency's programs and projects.

RETENTION
3 years
DISPOSITION
Transfer to Archives

(Approved 07/90)

PATIENT AND CLIENT CASE FILES (Item 1-56)
Documentation relating to client or patient medical information. Includes physical, psychiatric, dental, pharmaceutical, medical history, treatments, notes, reports, forms, memorandums, examinations, physical therapy, assessments, and all other related materials.

RETENTION
7 years after final action or 22 years after date of birth(Utah Admin Code R432-150-25(3)(b)(2014))
DISPOSITION
Destroy

(Approved 06/13)

PERFORMANCE AUDIT REPORTS (Item 1-80)
These are reports written and prepared by outside auditors as a result of a performance audit of an entity. Performance audit reports summarize and entity's programs, operations, and productivity.

RETENTION
7 years - 10 years
DISPOSITION
Transfer to Archives

(Approved 03/16)

SCHEDULE 1
ADMINISTRATIVE RECORDS

PERFORMANCE AUDIT WORK PAPERS (Item 1-81)

These records contain the audit results and evidence supporting the final report, and provide a link between the field work and the auditor's report. Work papers collected during the course of the audit include client-prepared documents, analysis, data, and correspondence which documents the performance of audits and their conclusions.

RETENTION

7 years - 10 years

DISPOSITION

Destroy

(Approved 03/16)

PERMIT AND LICENSING RECORDS (Item 1-77)

These records authorize an entity to conduct business within the consenting government's jurisdiction. Records include applications, certificates, registrations, permits, licenses, and related records.

RETENTION

3 years after expiration of permit or license

DISPOSITION

Destroy

(Approved 12/15)

PETITION SIGNATURE RECORDS (Item 1-82)

These records are petition signature sheets signed by individuals wishing to add a candidate or initiatives to the election ballot. Signatures are verified to determine whether petitioners are registered voters.

RETENTION

22 months

DISPOSITION

Destroy

(Approved 07/16)

SCHEDULE 1
ADMINISTRATIVE RECORDS

POLICY AND PROCEDURE RECORDS (Item 1-70)

These records are created by executive decision makers to document the dissemination of agency programs, policies and procedures. Executive decision makers may include the Director, Chief Administrative Officer, Public Information Officer or other internal administrators as identified by the executive office.

RETENTION

3 years

DISPOSITION

Transfer to Archives

(Approved 02/15)

PROPOSED LEGISLATION RECORDS (Item 1-40)

Records created by governmental agencies for the purpose of proposing legislation. They contain correspondence, memoranda, research information on proposed legislation, fiscal notes, summaries, estimated cost reports, impact statements, and other information documenting the proposed legislation.

RETENTION

5 years

DISPOSITION

Transfer to Archives

(Approved 12/92)

PUBLIC RELATIONS RECORDS (Item 1-69)

These records, regardless of format or mode of transmission, are created for distribution to the news media or public. Records include speeches, press releases, public announcements or similar records.

RETENTION

Permanent.

DISPOSITION

May Transfer Archives

(Approved 12/14)

SCHEDULE 1
ADMINISTRATIVE RECORDS

PUBLICATIONS (Item 1-25)

Any record, regardless of format, that is issued by a governmental entity for public distribution at the total or partial expense of that governmental entity. See Utah Code Section 9-7-101 8(a)(b) (2010) and 9-7-208 (2006)

RETENTION

Permanent.

DISPOSITION

Transfer to Archives

(Approved 10/13)

RECORDS ACCESS REQUESTS AND APPEALS (Item 1-64)

These records are access requests as provided under the Government Records Access and Management Act (GRAMA) (Utah Code 63G-2-204(2011)). Included with the access requests are any notices of denial, appeals or any other records related to the request. This schedule excludes record access requests appealed to a local appeals board.

RETENTION

2 years final action

DISPOSITION

Destroy

(Approved 06/14)

RECORDS DESTRUCTION FILES (Item 1-38)

Records which document the destruction of a governmental agency's records.

RETENTION

7 years final action

DISPOSITION

Destroy

(Approved 08/14)

SCHEDULE 1
ADMINISTRATIVE RECORDS

SUBMITTED PETITION RECORDS (Item 1-83)

These records are formal petitions submitted to the county legislative body proposing action. The legislative body submits the petition to legal voters in general or special election. Information may include signature totals, designated sponsors, actions of the legislative body, and related records.

RETENTION

5 years after resolution of issue

DISPOSITION

May Transfer Archives

(Approved 07/16)

TRANSITORY TRACKING RECORDS (Item 1-73)

These records document transitory transactions. Information tracks services rendered, movement of people, materials, and includes internet website visitor information.

RETENTION

1 year or until final action

DISPOSITION

Destroy

(Approved 04/15)

VITAL RECORDS (Item 1-72)

These records document "birth, death, fetal death, marriage, divorce, dissolution of marriage, or annulment." (Utah Code 26-2-2(20)(2014)) Documents may include registered certification or reports, applications, official registers and other similar records.

RETENTION

Permanent.

DISPOSITION

Transfer to Archives

(Approved 02/15)

SCHEDULE 1
ADMINISTRATIVE RECORDS

WORKING FILES

(Item 1-33)

These records contain unique information in rough notes or drafts assembled or created and used to prepare or analyze other documents. The information adds proper understanding to the formulation and execution of policies, decisions, actions, or responsibilities.

RETENTION

1 year after end of project or program

DISPOSITION

Destroy

(Approved 06/13)

SCHEDULE 2
BUDGETING RECORDS

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BUDGETING RECORDS

ANNUAL BUDGET REPORTS (Item 2-2)

Agency reports at the end of the fiscal year on the status of appropriation accounts and apportionment.

RETENTION

7 years

DISPOSITION

Transfer to Archives

(Approved 07/90)

BLOCK GRANT MONTHLY REPORTS (Item 2-3)

Monthly reports on grants received by State agencies from the Federal Government, which may contain applications, notice of award, program reports, and correspondence.

RETENTION

3 years

DISPOSITION

Destroy

(Approved 07/90)

BLOCK GRANT YEARLY REPORTS (Item 2-4)

Annual reports on grants received by State agencies from the Federal Government, which may contain applications, notice of award, program reports, and correspondence.

RETENTION

5 years

DISPOSITION

Transfer to Archives

(Approved 07/90)

SCHEDULE 2
BUDGETING RECORDS

BUDGET APPORTIONMENT FILES (Item 2-5)
Apportionment and reapportionment schedules, proposing monthly obligations under each authorized appropriation.

RETENTION
3 years
DISPOSITION
Destroy

(Approved 10/01)

BUDGET BACKGROUND RECORDS (Item 2-6)
Records used to assist in the preparation of the division budget and to justify budget requests presented to the department director. They also contain work programs, etc.

RETENTION
3 years
DISPOSITION
Destroy

(Approved 07/90)

BUDGET ESTIMATES AND JUSTIFICATION FILES (Item 2-7)
Copies of budget estimates and justification prepared or consolidated in formally organized budget offices. Included are appropriation language sheets, narrative statements, workload/expansion plans and related schedules and data.

RETENTION
3 years
DISPOSITION
Destroy

(Approved 10/01)

SCHEDULE 2
BUDGETING RECORDS

BUDGET POLICY FILES (Item 2-8)
Correspondence or subject files of formally organized budget offices documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs.

RETENTION
7 years
DISPOSITION
Transfer to Archives

(Approved 07/90)

GRANT CASE FILES (Item 2-9)
Accepted proposals and applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status and monitoring of grants; allocation of funds and project budgets. Specific grant case files may have additional state and federal retention requirements, please contact the State Archives to schedule a specific retention.

RETENTION
3 years resolution of issue
DISPOSITION
Destroy

(Approved 07/90)

GRANT CONTROL FILES (Item 2-10)
Indices, registers, logs, or other records relating to control of assigning numbers or identifying projects, applications, and grants.

RETENTION
Retain until superseded
DISPOSITION
Destroy

(Approved 07/90)

SCHEDULE 2
BUDGETING RECORDS

PERIODIC BUDGET REPORTS (Item 2-11)

Monthly or routine reports on the status of agency appropriation accounts and apportionment, excluding Annual Budget Reports.

RETENTION

3 years

DISPOSITION

Destroy

(Approved 07/90)

UNSUCCESSFUL GRANT APPLICATION FILES (Item 2-12)

Rejected or withdrawn grant applications, memoranda, correspondence, and other records relating to the decision to reject the grant proposal.

RETENTION

1 year after resolution of issue

DISPOSITION

Destroy

(Approved 07/90)

SCHEDULE 3
CARTOGRAPHIC RECORDS

SCHEDULE 3
CARTOGRAPHIC RECORDS

CARTOGRAPHIC RECORDS (Item 3-1)

Cartographic records which contain the officially designated record copy of maps created by an agency. These records document unique cartographic information about the state of Utah. They may include maps, charts, aerial photographs, globes, models, and raised relief maps these are a graphic representation of the earth's surface drawn to scale.

RETENTION

Permanent.

DISPOSITION

Transfer to Archives

(Approved 06/06)

SCHEDULE 4
COMMUNICATIONS RECORDS

SCHEDULE 4
COMMUNICATIONS RECORDS

ADMINISTRATIVE CORRESPONDENCE (Item 4-12)

Incoming and outgoing business-related correspondence, regardless of format or mode of transmission, created in the course of administering agency functions and programs. Administrative correspondence documents work accomplished, transactions made, or actions taken. This correspondence documents the implementation of agency functions rather than the creation of functions or policies. Business-related correspondence that is related to a core function with an associated retention schedule should follow the associated schedule.

RETENTION

7 years

DISPOSITION

Destroy

(Approved 06/14)

EXECUTIVE CORRESPONDENCE (Item 4-10)

Incoming and outgoing business-related correspondence, regardless of format or mode of transmission, that provides unique information relating to the functions, policies, procedures or programs of an agency. These records document executive decisions made regarding agency interests. Executive decision makers may include the Director, Chief Administrative Officer, Public Information Officer or other internal administrators as identified by the executive office.

RETENTION

Permanent.

DISPOSITION

May Transfer Archives

(Approved 05/14)

SCHEDULE 4
COMMUNICATIONS RECORDS

TELECOMMUNICATIONS SERVICE RECORDS (Item 4-6)

Telecommunications general files including plans, reports, and other records pertaining to equipment requests, telephone service, and other similar services.

RETENTION

5 years

DISPOSITION

Destroy

(Approved 07/90)

TRANSITORY CORRESPONDENCE (Item 4-11)

Incoming and outgoing correspondence, regardless of format or mode of transmission, related to matters of short term interest. Transmittal correspondence between individuals, departments or external parties containing no final contractual, financial or policy information. This correspondence does not impact agency functions. When resolved, there is no further use or purpose.

RETENTION

Retain until resolution of issue

DISPOSITION

Destroy

(Approved 05/14)

SCHEDULE 5
DATA PROCESSING RECORDS

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DATA PROCESSING RECORDS

ACTIVITY MONITORING RECORDS (Item 5-1)

Records which monitor the activities of a data processing system.
Information includes console logs, physical, and on-line access.

RETENTION

Retain until resolution of issue

DISPOSITION

Destroy

(Approved 07/90)

BATCH/DATA ENTRY CONTROL FORMS (Item 5-2)

Information on all batch or data entry records received by the
mainframe.

RETENTION

3 years

DISPOSITION

Destroy

(Approved 07/90)

COMPUTER HARDWARE MAINTENANCE RECORDS (Item 5-5)

Records documenting the service, repair, and inspection of
computer hardware (mainframes, mini and micro computers), which
also include service/maintenance agreements.

RETENTION

1 year after disposal of asset

DISPOSITION

Destroy

(Approved 07/90)

SCHEDULE 5
DATA PROCESSING RECORDS

COMPUTER JOB SCHEDULES AND REPORTS (Item 5-3)

Schedules or similar records showing computer jobs to be run, and other reports by computer operators or programmers of work performed.

RETENTION

Retain until resolution of issue

DISPOSITION

Destroy

(Approved 07/90)

COMPUTER TRANSACTION REPORTS (Item 5-4)

Reports showing data processing transactions that were accepted, rejected, suspended, or processed.

RETENTION

2 years

DISPOSITION

Destroy

(Approved 07/90)

COMPUTER UTILIZATION AND BILLING REPORTS (Item 5-6)

Records showing computer use by each agency and any charges for space or time.

RETENTION

5 years

DISPOSITION

Destroy

(Approved 07/90)

SCHEDULE 5
DATA PROCESSING RECORDS

DATA PROCESSING PLANNING RECORDS (Item 5-7)

Records created and used in the development, redesign, or modification of an automated system or application, including project management records, status reports, system or subsystem specifications, user requirements and specifications, and memoranda and correspondence. May also include studies, analyses, and short-range plans.

RETENTION

Permanent.

DISPOSITION

Transfer to Archives

(Approved 07/90)

PROGRAM MODIFICATION DOCUMENTATION (Item 5-13)

Records that document modifications to computer programs. These records are maintained for reference, backup, to insure adequacy of change documentation, or to rectify errors in program implementation after related programs are replaced, modified, or cease to be used.

RETENTION

1 year after end of project or program

DISPOSITION

Destroy

(Approved 08/96)

PROGRAM SOURCE CODE (Item 5-12)

Automated program code which generates the machine-language instructions used to operate an automated information system.

RETENTION

3 years after end of program or project

DISPOSITION

Destroy

(Approved 07/90)

SCHEDULE 6
FACILITY MANAGEMENT RECORDS

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FACILITY MANAGEMENT RECORDS

AMERICANS WITH DISABILITIES ACT (ADA) FILES (Item 6-12)

Records that indicate compliance to Americans with Disabilities Act (ADA). Included are surveys of government buildings to determine accessibility to the physically challenged, federal regulations, proposals for implementing the act, correspondence, resolutions, and solutions to access problems.

RETENTION

15 years

DISPOSITION

Destroy

(Approved 12/92)

APPRAISAL FILES (Item 6-1)

Files including location, description, value, and photographs of property.

RETENTION

Retain until superseded

DISPOSITION

Destroy

(Approved 07/90)

AS-BUILT CONSTRUCTION PLANS AND SPECIFICATIONS (Item 6-14)

Final plans and specifications for approved and constructed buildings, facilities, road and bridges. Documents construction of new buildings or facilities as well as renovation of owned buildings and rented buildings.

RETENTION

Permanent. Retain until final action.

DISPOSITION

May Transfer Archives

(Approved 08/14)

SCHEDULE 6
FACILITY MANAGEMENT RECORDS

BUILDING AND EQUIPMENT SERVICE FILES (Item 6-3)
Requests for building and equipment maintenance services,
excluding fiscal copies.

RETENTION
3 years
DISPOSITION
Destroy

(Approved 07/90)

CONSTRUCTION PLANS IN-REVIEW (Item 6-5)
Preliminary designs and specifications prepared by architectural
firms for review by state agency.

RETENTION
1 year after final action
DISPOSITION
Destroy

(Approved 07/90)

CONSTRUCTION PROJECT CASE FILES (Item 6-6)
Case files documenting the construction of new buildings and the
renovation of rented buildings for state use.

RETENTION
Permanent.
DISPOSITION
Transfer to Archives

(Approved 07/90)

FACILITIES MANAGEMENT GUIDELINES (Item 6-7)
Information pertaining to handicapped access, historic
preservation, energy conservation, environmental protection, and
planning.

RETENTION
3 years
DISPOSITION
Destroy

(Approved 07/90)

SCHEDULE 6
FACILITY MANAGEMENT RECORDS

MAINTENANCE WORK ORDERS (Item 6-8)
Requests from agencies for repair of building equipment, minor construction, or painting.

RETENTION
3 years
DISPOSITION
Destroy

(Approved 07/90)

NATURAL DISASTER AND DAMAGE SURVEY OF PUBLIC BUILDINGS (Item 6-9)
Survey and analysis of damage done to public buildings during natural disasters.

RETENTION
10 years
DISPOSITION
Transfer to Archives

(Approved 07/90)

PRELIMINARY PLANS AND SPECIFICATIONS (Item 6-13)
These records are related to the plans and specifications of approved and constructed facilities, road or bridges. Information may include preliminary designs, specifications, planning, surveys, analysis, renovation, preservation and construction.

RETENTION
Retain until final action
DISPOSITION
Destroy

(Approved 09/14)

SCHEDULE 6
FACILITY MANAGEMENT RECORDS

SPACE UTILIZATION REPORTS (Item 6-10)
Reports on the amount of floor space in agency buildings, number of rooms, and the capacity.

RETENTION
Retain until superseded
DISPOSITION
Destroy

(Approved 07/90)

UNDER-CONSTRUCTION PLANS AND SPECIFICATIONS (Item 6-11)
Specifications used by contractors and architects as guidelines to construct previously designed buildings.

RETENTION
Retain until superseded
DISPOSITION
Destroy

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

SCHEDULE 7
FINANCIAL RECORDS

ACCOUNTING ADMINISTRATIVE FILES (Item 7-1)

Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.

RETENTION

3 years

DISPOSITION

Destroy

(Approved 07/90)

ACCOUNTS PAYABLE RECORDS (Item 7-61)

These are records related to monies paid to suppliers, vendors, and other creditors. Records may include invoices, expenses, investment, and bank information. Records related to trust and contracts are maintained under a separate schedule.

RETENTION

4 years - 7 years

DISPOSITION

Destroy

(Approved 07/90)

ACCOUNTS RECEIVABLE (Item 7-2)

These records consist of copies of accounts receivables prepared to collect amounts owed by vendors, organizations, and citizens in the conduct of business.

RETENTION

4 years

DISPOSITION

Destroy

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

ACCOUNTS RECEIVABLE RECORDS (Item 7-60)

These are records related to monies invoiced or collected in the conduct of business. Information may include bank records, revenue, asset, and related accounting records. Records related to trust and contracts are maintained under a separate schedule.

RETENTION

4 years - 7 years

DISPOSITION

Destroy

(Approved 07/90)

AMERICAN EXPRESS MONITORING REPORT (Item 7-5)

Report generated by American Express showing expenditures made by state employees on agency American Express Cards.

RETENTION

3 years

DISPOSITION

Destroy

(Approved 07/90)

ANNUAL FINANCIAL BUDGET (Item 7-63)

The budget is a plan for financial operations for a fiscal year. It may be certified by a budget officer and filed with the state auditor.

RETENTION

Permanent.

DISPOSITION

Transfer to Archives

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

AUDIT WORK PAPERS (Item 7-56)

These records contain the audit results and evidence supporting the final report, and provide a link between the field work and the auditor's report. Work papers collected during the course of the audit include financial statements, client-prepared documents, analysis, data, and correspondence which documents the performance of audits and their conclusions.

RETENTION

7 years - 10 years

DISPOSITION

Destroy

(Approved 03/16)

BANK DAILY TOTALS (Item 7-8)

Daily report from bank that is used for reconciliation.

RETENTION

1 year

DISPOSITION

Destroy

(Approved 12/96)

BANK STATEMENTS (Item 7-9)

These are monthly statements showing the amount of money on deposit to the credit of the entity showing date, name of bank, total deposit, withdrawals, and cash balance with interest on daily bank balances.

RETENTION

4 years

DISPOSITION

Destroy

(Approved 12/96)

SCHEDULE 7
FINANCIAL RECORDS

BOND OFFICIAL TRANSCRIPTS (Item 7-10)

Official files regarding authority to issue bonds (general obligation or revenue). Records may include Indenture of Trust, leases, authorizing resolutions, offering documents, certificates, specimen bonds, etc.

RETENTION

5 years after final action

DISPOSITION

Transfer to Archives

(Approved 12/13)

BONDS, NOTES & INTEREST PAYMENTS (Item 7-12)

These are critical bond documents that are used for the life of bills, notes, debt securities, debt obligations, or bonds. Included are book entries, statements and payment confirmations, application and certificate for eligibility, and related records.

RETENTION

3 years after final action

DISPOSITION

Destroy

(Approved 11/14)

BUDGET RECORDS (Item 7-62)

These records are used to document the intended appropriation of funds. Information may include budget requests, proposals, and reports documenting the status of appropriations.

RETENTION

4 years - 7 years

DISPOSITION

Destroy

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

CASH RECEIPT TRANSACTION FORM (FI-33) (Item 7-17)
Cash receipt transaction forms accompanying agency deposits to
the State Treasurer's Office.

RETENTION
3 years
DISPOSITION
Destroy

(Approved 07/90)

CASH RECEIPTS (Item 7-13)
Agency copy of receipts given to customers who pay the agency for
services rendered.

RETENTION
3 years
DISPOSITION
Destroy

(Approved 07/90)

COST ACCOUNTING REPORTS (Item 7-15)
Reports maintained by receiving and reporting units, which
document how much it costs an entity to provide a service and the
fee they charge for that service.

RETENTION
3 years
DISPOSITION
Destroy

(Approved 07/90)

COST REPORT DATA FILES (Item 7-16)
Ledgers and forms used to accumulate data for use in cost
reports.

RETENTION
3 years
DISPOSITION
Destroy

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

EXPENDITURE ACCOUNTING GENERAL CORRESPONDENCE AND SUBJECT FILES (Item 7-19)

Correspondence or subject file maintained by operating units responsible for expenditure accounting, pertaining to their internal operations and administration.

RETENTION

2 years

DISPOSITION

Destroy

(Approved 07/90)

EXPENDITURE ACCOUNTING POSTING AND CONTROL FILES (Item 7-20)

Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this schedule.

RETENTION

7 years

DISPOSITION

Destroy

(Approved 10/01)

FINANCIAL AUDIT REPORTS (Item 7-57)

These are reports written and prepared as a result of audits of governmental entities by an outside agency examining and verifying the entities' financial activities for the year.

RETENTION

7 years - 10 years

DISPOSITION

Transfer to Archives

(Approved 03/16)

SCHEDULE 7
FINANCIAL RECORDS

FINANCIAL INFORMATION NETWORK (FI-NET) NON-PAYMENT RECORDS (Item 7-54)

Records that document receipt of cash or transfers between state agencies in the state accounting system, and other relevant information. Includes cash receipts (CR), inter-agency transactions (IAT), and revenue (IN) transactions.

RETENTION

3 years

DISPOSITION

Destroy

(Approved 06/96)

FINANCIAL INFORMATION NETWORK (FI-NET) PAYMENT RECORDS (Item 7-53)

Records processed through the state accounting system that document the expenditure of cash and the appropriate supporting information. Includes payment invoices, purchasing records, and travel reimbursements.

RETENTION

7 years

DISPOSITION

Destroy

(Approved 06/96)

FINANCIAL INFORMATION NETWORK (FI-NET) REPORTS (Item 7-55)

Reports of accounting information contained in the state accounting system, including budget, grant, payroll, revenue expense, accounting reports, and bank reconciliations.

RETENTION

7 years

DISPOSITION

Destroy

(Approved 06/96)

SCHEDULE 7
FINANCIAL RECORDS

FIXED ASSETS INVENTORY (Item 7-27)

These records are used to track and control capital outlay such as office equipment (chairs, typewriters, etc.) and other fixed assets including tools, machinery, and other large equipment.

RETENTION

2 years

DISPOSITION

Destroy

(Approved 07/90)

FREIGHT FILES (Item 7-23)

Records relating to freight, consisting of export certificates, transit certificates, demurrage card, record books, shipping documents pertinent to freight classification, memorandum copies of government or commercial bills of lading, shortage and demurrage reports, and all supporting documents, including records relating to the shipment of household goods.

RETENTION

3 years

DISPOSITION

Destroy

(Approved 07/90)

FREIGHT SCHEDULES OF LOST OR DAMAGED SHIPMENTS (Item 7-24)

Schedules of valuables shipped, correspondence, memoranda, reports and other records relating to shipments that were damaged in transit.

RETENTION

3 years resolution of issue

DISPOSITION

Destroy

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

GENERAL ACCOUNTING LEDGER (Item 7-25)

General accounts ledger, showing debit and credit entries, and reflecting expenditures in summary.

RETENTION

7 years

DISPOSITION

Destroy

(Approved 07/90)

GRANT AND OTHER FINANCIAL ASSISTANCE RECORDS (Item 7-58)

These records document grants received by governmental entities which may contain applications, notice of award, program reports, correspondence, and related records.

RETENTION

3 years - 8 years after final action or disposition of asset

DISPOSITION

Destroy

(Approved 07/90)

GRANT FINAL REPORTS (Item 7-59)

These records are reports prepared and submitted on grants received by governmental entities on grants received. Information may include statistics, narrative, activities, and accomplishments.

RETENTION

Retain until final action or disposition of asset then transfer to Archives

DISPOSITION

Transfer to Archives

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

JOURNAL ENTRY RECORDS (Item 7-52)

Entries listing adjustments to an organization's credit or debit financial statements. They contain the Division of Finance form FI-35, which lists the credit or debit adjustment, explanation of entry, and approval signature.

RETENTION

10 years

DISPOSITION

Destroy

(Approved 12/92)

PERFORMANCE BONDS (Item 7-30)

Bonds made payable to the state conditional to the performance of all activity requirements and state and federal law.

RETENTION

7 years after resolution of issue

DISPOSITION

Destroy

(Approved 07/90)

PETTY CASH RECORDS (Item 7-33)

Records which verify all monies received or expended through a petty cash account. Includes cash receipts, adding machine tapes, daily accounting records, reconciliation, transmittals, etc.

RETENTION

3 years

DISPOSITION

Destroy

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

REAL ESTATE PURCHASE WARRANT REQUESTS (Item 7-51)

Documentation of the purchase of real estate by a government agency.

RETENTION

5 years

DISPOSITION

Transfer to Archives

(Approved 07/90)

REFUND REQUESTS (Item 7-35)

These are forms signed by customers requesting a refund of monies paid to the entity.

RETENTION

3 years

DISPOSITION

Destroy

(Approved 07/90)

REIMBURSEMENT FILES (Item 7-44)

These records document payments made to state employees and agencies for the purpose of reimbursing travel, transportation, equipment, service, training, and other reimbursable costs. Records include correspondence, forms, travel reservations, travel authorizations, per diem vouchers, transportation requests, hotel reservations, invoices, itemized expenses, and other supporting records used to validate reimbursable expenses.

RETENTION

3 years

DISPOSITION

Destroy

(Approved 04/09)

SCHEDULE 7
FINANCIAL RECORDS

STORES ACCOUNTING WORK PAPERS (Item 7-39)
Work papers used in accumulating stores accounting data.

RETENTION
2 years
DISPOSITION
Destroy

(Approved 07/90)

STORES INVOICE FILES (Item 7-40)
Invoice or equivalent records used for stores accounting purposes.

RETENTION
3 years
DISPOSITION
Destroy

(Approved 07/90)

TAX AND REVENUE ANTICIPATION NOTES (Item 7-41)
Short-term notes which are revenue supported. They are issued by the State Treasurer for a term of less than 1 year.

RETENTION
1 year
DISPOSITION
Destroy

(Approved 12/96)

TELEPHONE BILLS (Item 7-43)
Bills which document calls made from state offices and state cellular phones. Bills also include the number called and the length, time, and date of phone call.

RETENTION
3 years
DISPOSITION
Destroy

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

TRUST FINANCIAL RECORDS (Item 7-64)

These are records related to monies handled under the terms of a trust. Information may include property taxes, insurance premiums, mortgage and related records.

RETENTION

4 years - 7 years after final action

DISPOSITION

Destroy

(Approved 07/90)

VENDOR PAYMENT VOUCHERS - CANCELED (Item 7-50)

Documentation used to input data about cancelled warrants. The information is used to ensure that funds are accurately credited to proper agency Financial Information Network (FI-NET) accounts.

RETENTION

7 years

DISPOSITION

Destroy

(Approved 07/90)

WARRANT/CHECK (Item 7-47)

Actual warrant or check cut from warrant request to pay for services rendered.

RETENTION

7 years

DISPOSITION

Destroy

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

WARRANT/CHECK - LOST (Item 7-48)
Legal documentation explaining and justifying a lost warrant, so
that a new one can be issued.

RETENTION
4 years
DISPOSITION
Destroy

(Approved 07/90)

SCHEDULE 9
MOTOR VEHICLE MAINTENANCE AND OPERATIONS RECORDS

SCHEDULE 9
MOTOR VEHICLE MAINTENANCE AND OPERATIONS RECORDS

AUTOMOBILE TITLES (Item 9-1)
Records which prove state ownership of the vehicle.

RETENTION
Retain until vehicle is sold and then transfer to buyer
DISPOSITION

(Approved 07/90)

CERTIFICATES OF MILEAGE (Item 9-2)
Certificates issued by the dealer/manufacturer certifying the mileage is accurate on each vehicle purchased by the state.

RETENTION
3 years
DISPOSITION
Destroy

(Approved 07/90)

GASOLINE SALES TICKETS (Item 9-3)
Hard copies of sales tickets filed in support of paid vouchers for credit card purchases of gasoline.

RETENTION
3 years
DISPOSITION
Destroy

(Approved 12/05)

MANUFACTURERS' STATEMENT OF ORIGINS (Item 9-5)
Verification by the manufacturer of the vehicles's manufactured origin.

RETENTION
4 years
DISPOSITION
Destroy

(Approved 07/90)

SCHEDULE 9
MOTOR VEHICLE MAINTENANCE AND OPERATIONS RECORDS

MOTOR POOL COST FILES (Item 9-6)
Motor pool vehicle ledgers and work sheets providing cost and expense data.

RETENTION
5 years
DISPOSITION
Destroy

(Approved 07/90)

MOTOR POOL RELEASE FILES (Item 9-8)
Records relating to the transfer, sale, donation, or exchange of state vehicles.

RETENTION
5 years after disposition of asset
DISPOSITION
Destroy

(Approved 12/92)

MOTOR POOL VEHICLE OPERATIONS FILES (Item 9-10)
Operating records including those relating to gas and oil consumption, dispatching, and scheduling.

RETENTION
Retain by Motor Pool Office until disposition of asset
DISPOSITION
Destroy

(Approved 07/90)

PUBLIC TRANSIT RECORDS (Item 9-13)
These records document bus activity and ridership. Information includes driver manifests, passenger counts, paratransit services, routes, and related records.

RETENTION
3 years - 7 years
DISPOSITION
Destroy

(Approved 12/15)

SCHEDULE 9
MOTOR VEHICLE MAINTENANCE AND OPERATIONS RECORDS

VEHICLE MAINTENANCE RECORDS (Item 9-14)

These records document the inspection, repair and maintenance of government-owned vehicles. Information includes vehicle identification, usage, and related records.

RETENTION

3 years after disposition of asset

DISPOSITION

Destroy

(Approved 01/16)

VEHICLE REGISTRATION CERTIFICATES (Item 9-11)

Copies of legal registrations required by law to be maintained with each vehicle.

RETENTION

Retain by Motor Pool Office until vehicle is sold and then transfer to buyer

DISPOSITION

(Approved 07/90)

SCHEDULE 10
PAYROLL RECORDS

SCHEDULE 10
PAYROLL RECORDS

BUDGET AUTHORIZATION RECORDS (Item 10-2)

Copies of budget authorizations in operating payroll units used to control personnel ceilings and personnel actions.

RETENTION

2 years

DISPOSITION

Destroy

(Approved 10/01)

EMPLOYEE BENEFIT MATCHING MONEY REPORT (Item 10-4)

Listing of state matching funds paid to employee retirement and referenced by low organization number.

RETENTION

3 years

DISPOSITION

Destroy

(Approved 07/90)

EMPLOYEE WAGE HISTORY RECORDS (Item 10-32)

These records document employee cumulative salary for employees needed for retirement purposes. Information includes employee details, department and position information, earnings, deductions, and related records.

RETENTION

65 years

DISPOSITION

Destroy

(Approved 07/15)

SCHEDULE 10
PAYROLL RECORDS

FULL-TIME EMPLOYEE REPORT (Item 10-6)

Report which informs users of the full-time equivalent count for each agency.

RETENTION

3 years

DISPOSITION

Destroy

(Approved 07/90)

LEAVE CATEGORY CHANGES (Item 10-12)

Report showing changes made if an employee does not have enough leave and payroll program must make adjustments from another category.

RETENTION

3 years

DISPOSITION

Destroy

(Approved 07/90)

PAYROLL POST PROCESSING RECORDS (Item 10-31)

This schedule is for payroll reporting. Each payroll period is closed out when disbursement information is verified using payroll reports.

RETENTION

7 years

DISPOSITION

Destroy

(Approved 07/15)

SCHEDULE 10
PAYROLL RECORDS

PAYROLL PROCESSING RECORDS (Item 10-30)

These records verify compensation data for each employee, including salary, hourly rate and type of pay. Deductions are confirmed in processing payroll before employees are paid.

RETENTION

3 years

DISPOSITION

Destroy

(Approved 07/15)

PRELIMINARY PAYROLL FILES (Item 10-16)

Computer-produced, two part documents sent by Finance to agencies to record final corrections or adjustments regarding employees' pay. They are made before the master payroll file is run and checks are issued. Preliminary payroll files do not serve as time and attendance records.

RETENTION

1 year

DISPOSITION

Destroy

(Approved 07/90)

SCHEDULE 10
PAYROLL RECORDS

RETROACTIVE PAY REQUESTS FOR STATE EMPLOYEES (Item 10-27)

Records which document requests for retroactive payments to state employees, such as when a pay increase was not made in a timely manner. Information includes name, low organization number, social security number, effective date, number of regular hours, and new hourly rate. These records are kept for audit purposes. The actual retroactive payment is part of the master payroll files maintained by the Division of Finance.

RETENTION

Record copy: Retain for 3 years

DISPOSITION

Destroy

DISPOSITION

Destroy

(Approved 08/96)

SAVINGS BOND PURCHASE SUMMARY (Item 10-20)

List of all bond purchases and the remaining bond balances by low organization number.

RETENTION

2 years

DISPOSITION

Destroy

(Approved 10/01)

SCHEDULE SIX PLANNING REPORT (Item 10-21)

Compilation of position control files, which keep track of positions that have been authorized by the Department of Human Resource Management, used for budget justification and planning. Information includes number of positions and their cost.

RETENTION

3 years

DISPOSITION

Destroy

(Approved 07/90)

SCHEDULE 10
PAYROLL RECORDS

SCHEDULE SIX POSITION CONTROL REPORTS (Item 10-22)

Reports which document the employee positions authorized by the Department of Human Resource Management that are actually filled and the amount of money spent. Information includes the amount paid to the employee, which is posted against the general ledger to position control. Also indicates the posted benefits. Information appears on Schedule Six.

RETENTION
2 years
DISPOSITION
Destroy

(Approved 07/90)

SCHEDULE SIX POSTING PAYROLL REPORTS (Item 10-23)

Reports from the Division of Finance indicating the status of agency payroll transactions.

RETENTION
2 years
DISPOSITION
Destroy

(Approved 07/90)

SUMMARY TIME REPORT (Item 10-5)

This report provides information on the regular and overtime hours paid. It also includes all other earnings and the labor distribution.

RETENTION
3 years
DISPOSITION
Destroy

(Approved 07/90)

SCHEDULE 10
PAYROLL RECORDS

TIMEKEEPING RECORDS (Item 10-29)

Information regarding hours worked, paid or unpaid permitted absence from work for family emergency, sickness, personal time, vacation, or other reasons as outlined by policy are included in this schedule.

RETENTION

3 years

DISPOSITION

Destroy

(Approved 07/15)

W-4 INCOME TAX WITHHOLDINGS CERTIFICATES (Item 10-8)

Records of withholding tax allowances completed by state employees which certify the withholding tax status of the employee and any additional withholding from his paycheck.

RETENTION

4 years

DISPOSITION

Destroy

(Approved 04/06)

SCHEDULE 11
HUMAN RESOURCE RECORDS

SCHEDULE 11
HUMAN RESOURCE RECORDS

AMERICANS WITH DISABILITIES ACT (ADA) REQUESTS FOR ACCOMMODATION (Item 11-58)

Requests made by an employee for disability accommodations.
Information includes medical data about the requestor,
accommodations made, denials, appeals, and any other information
about accommodation requests from applicants, employees, and
volunteers.

RETENTION

5 years after separation

DISPOSITION

Destroy

(Approved 06/97)

COMPLAINT INVESTIGATION FILES (Item 11-66)

Initial documentation of complaints that result in an
investigation but do not result in disciplinary action.

RETENTION

7 years after separation or after case is closed

DISPOSITION

Destroy

(Approved 07/15)

CONFLICT OF INTEREST FILES (Item 11-6)

Conflict of interest documentation concerning any employment or
activity outside State of Utah employment that may or may not
present a conflict of interest.

RETENTION

Retain until reviewed and place in agency personnel file.

DISPOSITION

(Approved 10/01)

SCHEDULE 11
HUMAN RESOURCE RECORDS

DRUG TEST NEGATIVE RESULTS (Item 11-56)

Records of employee drug or alcohol tests, the results of which were found to be negative. Information may include the identity of the person performing the test and the date and location of the test.

RETENTION

1 year

DISPOSITION

Destroy

(Approved 06/96)

DRUG TEST POSITIVE RESULTS (Item 11-55)

Records of employee drug or alcohol tests which were found to be positive and any records that demonstrate rehabilitation. Information may include the functions performed by each employee who failed the test, the prohibited drugs used, the disposition of the employees (e.g. separation or rehabilitation), the person or entity performing the test, and the date and location of test.

RETENTION

5 years

DISPOSITION

Destroy

(Approved 06/96)

EMPLOYEE ASSISTANCE PROGRAM FILES (Item 11-8)

Records documenting the frequency and other statistical information relating to the number of employees using the Employee Assistance Program (EAP) vendor. This record contains statistical reports submitted by the vendor, but does not contain names or other personal information on individual employees.

RETENTION

1 year

DISPOSITION

Destroy

(Approved 02/06)

SCHEDULE 11
HUMAN RESOURCE RECORDS

EMPLOYEE HEALTH AND MEDICAL RECORDS (Item 11-65)

These records document an employee's fitness for duty.
Documentation for health-related leave is included.

RETENTION

7 years after separation

DISPOSITION

Destroy

(Approved 07/90)

EMPLOYEE TRAINING RECORDS (Item 11-11)

Correspondence, memoranda, reports, and other records relating to the availability and employee participation in training programs sponsored by governmental agencies or non-governmental institutions. This information may also be entered into the Department of Human Resource Management automated system.

RETENTION

Retain until made part of employee personnel file

DISPOSITION

(Approved 07/90)

EMPLOYMENT HISTORY RECORDS (Item 11-62)

Employment history documents a person's application, hiring, and employment with a governmental entity, including all records necessary to calculate benefits. Final actions taken as a result of disciplinary action or grievances are included in this schedule.

RETENTION

65 years or 3 years after separation (per Utah Code 49-11-902(2)(2013) or 7 years after separation (Utah Code 49-11-602 (2014))

DISPOSITION

Destroy

(Approved 11/14)

SCHEDULE 11
HUMAN RESOURCE RECORDS

EQUAL EMPLOYMENT OPPORTUNITY (EEO) AFFIRMATIVE ACTION PLANS (Item 11-13)

Equal Employment Opportunity (EEO) Affirmative Action Plans (AAP) include both the agency copies of consolidated AAP's developed by the Department of Human Resource Management, and the agency feeder plans which are used to develop a larger affirmative action strategy.

RETENTION

7 years

DISPOSITION

Destroy

(Approved 02/06)

EQUAL EMPLOYMENT OPPORTUNITY (EEO) COMPLIANCE REVIEW FILES (Item 11-14)

Review files containing background papers, etc., relating to contractor employment practices.

RETENTION

7 years

DISPOSITION

Destroy

(Approved 07/90)

EQUAL EMPLOYMENT OPPORTUNITY (EEO) STATISTICS FILES (Item 11-16)

Employment statistics relating to race and gender.

RETENTION

3 years

DISPOSITION

Transfer to Archives

(Approved 10/01)

SCHEDULE 11
HUMAN RESOURCE RECORDS

FINANCIAL DISCLOSURE REPORTS (Item 11-18)

Reports and related documents submitted by individuals as required under the Public Officers' and Employees' Ethics Act, UCA 67-16-7 (1989).

RETENTION

5 years

DISPOSITION

Destroy

(Approved 07/90)

FITNESS FOR DUTY EVALUATIONS (Item 11-59)

Records which contain any medical or psychological information used to determine an employee's fitness for duty.

RETENTION

5 years

DISPOSITION

Destroy

(Approved 02/06)

GRIEVANCE RECORDS (Item 11-64)

Initial documentation responding to working condition grievances that result in any type of investigation for possible personnel or administrative action.

RETENTION

3 years

DISPOSITION

Destroy

(Approved 07/15)

SCHEDULE 11
HUMAN RESOURCE RECORDS

HUMAN RESOURCE MANAGEMENT RULES (Item 11-20)

Document which outlines policies and procedures to be followed by state agencies in the administration of the state human resource management system.

RETENTION

Retain by the Department of Human Resource Management until superseded

DISPOSITION

Transfer to Archives

(Approved 07/90)

LABOR-MANAGEMENT RELATIONS FILES (Item 11-25)

Records and case files of labor-management relations such as UPEA, AFCME, UHEE, etc. Includes correspondence, memoranda, reports, and other records relating to the relationship between management and employee associations or other groups.

RETENTION

5 years

DISPOSITION

Destroy

(Approved 07/90)

LENGTH OF SERVICE AWARD FILES (Item 11-26)

Records include correspondence, memoranda, reports, computations of service documentation, and lists of awardees. This information is entered into the Department of Human Resource Management automated system.

RETENTION

2 years

DISPOSITION

Destroy

(Approved 07/90)

SCHEDULE 11
HUMAN RESOURCE RECORDS

PERFORMANCE PLANS AND EVALUATIONS (Item 11-63)

This information documents an employee's performance, including awards, performance plans, and evaluations.

RETENTION

3 years after separation (per Utah Code 49-11-602(2)(2013))
or 7 years after separation (per Utah Code
78B-2-309(2)(2008))

DISPOSITION

Destroy

(Approved 11/14)

POSITION MANAGEMENT REQUEST FILES (Item 11-37)

These documents are used to create new positions, abolish old positions, or change existing state employment positions. They include department/division name, effective date, justification statement, position control number, signature of Human Resource Analyst or Specialist, and any additional documentation that is provided such as organizational charts, performance plans, job descriptions/job analysis, position analysis, etc.

RETENTION

3 years Transfer to State Records Center for 7 years

DISPOSITION

Destroy

(Approved 02/06)

STAFF ACQUISITION RECORDS (Item 11-61)

Records related to the recruiting and hiring of employees, including candidates not hired. The resume and application of hired individuals are part of the Employee History Records.

RETENTION

2 years after final action

DISPOSITION

Destroy

(Approved 06/15)

SCHEDULE 11
HUMAN RESOURCE RECORDS

TESTING MATERIALS (Item 11-4)

Tests taken by applicants who have met the minimum requirements for a state position. Includes tests, test keys, applicants' answer sheets, test scores, and any other documents related to the testing process.

RETENTION

3 years as part of recruitment file

DISPOSITION

Destroy

(Approved 04/06)

TRAINING AIDS (Item 11-48)

One copy of each syllabus, manual, textbook, videos/DVDs, and any other training materials created by the agency.

RETENTION

Retain by agency until until end of project or program

DISPOSITION

Transfer to Archives

(Approved 07/90)

TRAINING CONFERENCE AND COURSES FILES (Item 11-49)

General file of agency-sponsored training. Includes correspondence, memoranda, agreements, authorizations, background and work papers, reports, requirements, reviews, plans, and objectives relating to operation of training courses and conferences.

RETENTION

Retain by agency until superseded

DISPOSITION

Destroy

(Approved 07/90)

SCHEDULE 11
HUMAN RESOURCE RECORDS

TRAINING CONTRACTS (Item 11-50)
Contracts between state agencies and the Department of Human Resource Management to administer agreed-upon training programs.

RETENTION
3 years after expiration of contractual agreement
DISPOSITION
Destroy

(Approved 07/90)

UTAH JOB MATCH POSITION ANALYSIS (Item 11-53)
Electronic document which describes the duties and other position classification information pertinent to a specific position or employee. This is a computerized report used to express more detailed information about a position than is generally provided in a Job Description.

RETENTION
10 years
DISPOSITION
Destroy

(Approved 02/06)

VERIFICATION OF EMPLOYMENT ELIGIBILITY (Item 11-67)
This employment documentation is required to comply with the Immigration Reform and Control Act. The resume and application of hired individuals are part of the Employee History Records.

RETENTION
3 years or 1 year after separation, whichever is later
DISPOSITION
Destroy

SCHEDULE 11
HUMAN RESOURCE RECORDS

VOLUNTEER FILES (Item 11-60)

These records are used to verify background information on volunteers prior to and during employment. These files often contain volunteer applications, letters of commendation, photos of the volunteer, background investigations, and other information relating to volunteer service activities.

RETENTION

5 years after separation

DISPOSITION

Destroy

(Approved 04/12)

WORKER'S COMPENSATION CASE FILES (Item 11-35)

Records include forms, first report of injury, reports, correspondence, and related medical and investigative records regarding on-the-job injuries, whether or not a claim for compensation was made. See Utah Code 34A-2 for Worker's Compensation Act.

RETENTION

75 years

DISPOSITION

Destroy

(Approved 09/13)

SCHEDULE 13
PURCHASING RECORDS

SCHEDULE 13
PURCHASING RECORDS

BIDDERS LIST OR CARD FILES (Item 13-1)

Lists of acceptable bidders who are eligible for contracting with the State to provide products or services.

RETENTION

1 year after superseded

DISPOSITION

Destroy

(Approved 07/90)

CANCELED SOLICITATION FILES (Item 13-2)

Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which were canceled prior to the awarding of a contract. Information includes presolicitation documentation on the requirement, offers opened prior to cancellation, documentation on government action up to the time of cancellation, and evidence of cancellation.

RETENTION

4 years after final action

DISPOSITION

Destroy

(Approved 12/05)

CONTRACT APPEALS CASE FILES (Item 13-3)

Case files consisting of notices of appeal and acknowledgments, correspondence between parties, contracts copies, plans, specifications, exhibits, change orders and amendments, transcripts of hearings, documents received from parties concerned, final decisions, and other related records.

RETENTION

5 years

DISPOSITION

Transfer to Archives

(Approved 07/90)

SCHEDULE 13
PURCHASING RECORDS

CONTRACT PURCHASING FILES (Item 13-18)

These records document contractual agreements for products or services. Records may include preliminary requirements, contractor payroll records, bids, and the signed contract.

RETENTION

7 years expiration of contractual agreement

DISPOSITION

Destroy

(Approved 08/15)

LEASING CONTRACT FILES (Item 13-7)

Building or equipment leases and related records documenting agreements, services, and payments.

RETENTION

4 years after expiration of contractual agreement

DISPOSITION

Destroy

(Approved 07/90)

PURCHASE ORDERS (FI-8) (Item 13-9)

Orders used to document the purchase transaction and to notify the agency of purchase approval.

RETENTION

4 years

DISPOSITION

Destroy

(Approved 10/01)

PURCHASE REQUISITION FILES (FI-1) (Item 13-10)

Requisitions for supplies and equipment for current inventory.

RETENTION

4 years

DISPOSITION

Destroy

(Approved 10/01)

SCHEDULE 13
PURCHASING RECORDS

REAL PROPERTY ACQUISITION FILES (Item 13-11)

Title papers documenting the acquisition of real property by purchase, condemnation, donation, exchange, or otherwise.

RETENTION

10 years after disposition of asset

DISPOSITION

Destroy

(Approved 07/90)

REQUEST FOR PROPOSAL RECORDS (Item 13-17)

These records are bids and proposals to provide products or services for a governmental entity. Information includes preliminary requirements for procurement of a commodity or service.

RETENTION

4 years after end of project

DISPOSITION

Destroy

(Approved 06/15)

SUPPLY MANAGEMENT FILES (Item 13-13)

Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature).

RETENTION

2 years

DISPOSITION

Destroy

(Approved 07/90)

SCHEDULE 13
PURCHASING RECORDS

TAX EXEMPTION FILES (Item 13-14)
Tax exemption certificates and related records.

RETENTION
3 years
DISPOSITION
Destroy

(Approved 07/90)

SCHEDULE 14
PROPERTY RECORDS

SCHEDULE 14
PROPERTY RECORDS

REAL PROPERTY SALE FILES (Item 14-3)
Records which document the transfer of state owned real estate to non-state ownership, whether by transfer, trade, sale, or donation.

RETENTION
6 years after final action
DISPOSITION
Transfer to Archives

(Approved 07/90)

RIGHT OF WAY RECORDS (Item 14-5)
These records document both the acquisition of property for the purpose of right of way projects and the sale of surplus property after project completion. Information may include a description of the property, property appraisal, offer to purchase, statement of compensation, copies of contracts, agent log, payment closing statements, maps and plat.

RETENTION
Permanent.
DISPOSITION
Transfer to Archives

(Approved 06/15)

SURPLUS PROPERTY CASE FILES (Item 14-4)
Records which document the sale, disposal, or surplus of personal property. These files may comprise of invitations, bid acceptances, lists of materials, evidence of sales, and related correspondence.

RETENTION
6 years
DISPOSITION
Destroy

(Approved 07/90)

SCHEDULE 14
PROPERTY RECORDS

SURPLUS PROPERTY FORMS (Item 14-1)
Any completed forms required by the Division of Surplus Property
to dispose of property an agency wishes to surplus.

RETENTION
2 years after disposition of asset

DISPOSITION
Destroy

(Approved 04/06)

SCHEDULE 15
PUBLIC AFFAIRS RECORDS

SCHEDULE 15
PUBLIC AFFAIRS RECORDS

AGENCY COMMENDATION FILES (Item 15-1)

These are awards, letters of commendation, or other forms of formal recognition for accomplishment received by an agency. These records may impart important information or observations about agency programs, operations, or accomplishments. They are not part of individual personnel files.

RETENTION

6 years

DISPOSITION

Transfer to Archives

(Approved 07/90)

PRESS RELEASES (Item 15-8)

A copy of prepared statements or announcements issued for distribution to the news media. A press release may be a textual record or a non-textual record such as a film or video sound recording.

RETENTION

5 years

DISPOSITION

Transfer to Archives

(Approved 07/90)

PUBLIC INFORMATION FILES (Item 15-7)

These are files of information which an agency collects on a particular topic and which relate to the agency's interaction with the public. Contents may include newspaper clippings, public opinion polls, studies and reports, or any other materials collected topically to assist the agency.

RETENTION

1 year after completion of project or program

DISPOSITION

Destroy

(Approved 07/90)

SCHEDULE 15
PUBLIC AFFAIRS RECORDS

PUBLIC PRESENTATIONS FILES (Item 15-10)

Speeches, addresses, and comments. Remarks made at formal ceremonies and during interviews by heads of agencies or their senior assistants concerning the programs of their agencies. The format selected may be paper, video tape, motion picture film, CD, DVD, etc.

RETENTION

7 years

DISPOSITION

Transfer to Archives

(Approved 02/06)

SCHEDULE 16
SECURITY SERVICES RECORDS

SCHEDULE 16
SECURITY SERVICES RECORDS

DISASTER PLAN RECORDS (Item 16-18)

Disaster plans for records and office operations ensure that essential government functions continue to be performed following natural disasters, accidents, technical, or attack related emergencies. Information includes plans for restoring operations and protecting facilities and resources. Disaster recovery training materials may be included.

RETENTION

Retain until superseded

DISPOSITION

Destroy

(Approved 06/14)

INSURANCE REPORTS (Item 16-6)

Reports used for the reference and generation of claims files.

RETENTION

12 years

DISPOSITION

Destroy

(Approved 07/90)

LIABILITY INSURANCE POLICY FILES (Item 16-8)

Insurance policy contracts between the State of Utah and private insurers.

RETENTION

Permanent. Retain by the Division of Risk Management.

DISPOSITION

May Transfer Archives

(Approved 07/90)

SCHEDULE 16
SECURITY SERVICES RECORDS

LIABILITY RISK MANAGEMENT CASE FILES (Item 16-9)

Case files of the reporting, investigation, and settlement of liability claims filed against the state, colleges and universities.

RETENTION

20 years

DISPOSITION

Destroy

(Approved 07/90)

PROPERTY INSURANCE POLICY FILES (Item 16-12)

Insurance policy contracts between the State of Utah and private insurers.

RETENTION

75 years

DISPOSITION

Destroy

(Approved 07/90)

SECURITY GUARD RECORDS (Item 16-14)

Records of guard assignments and service. Records include reports of rounds and other checks made during shifts, as well as logs of occurrences of unusual activity. Records also detail personnel matters associated with assigning guards to shifts.

RETENTION

5 years

DISPOSITION

Destroy

(Approved 07/90)

SCHEDULE 16
SECURITY SERVICES RECORDS

SURVEILLANCE VIDEOS (Item 16-17)

These records consist of surveillance videos used by state agencies to record activity. The surveillance may occur in state agency buildings or in Utah Highway Patrol vehicles.

RETENTION

Retain by agency until resolution of issue

DISPOSITION

Destroy

(Approved 04/06)

VISITOR CONTROL FILES (Item 16-15)

Registers or logs used to record names of outside contractors, service personnel, visitors, and employees admitted to areas, and reports of passengers in State automobiles.

RETENTION

2 years

DISPOSITION

Destroy

(Approved 07/90)

VISITOR LOGS (Item 16-16)

Registers or logs used to record names of visitors who are admitted to secure areas in government offices and facilities.

RETENTION

5 years

DISPOSITION

Destroy

(Approved 07/90)

SCHEDULE 17
LAW ENFORCEMENT

SCHEDULE 17
LAW ENFORCEMENT

ARREST RECORDS (Item 17-6)

These are records of prisoners confined in jail. They include the prisoner's name, alias, sheriff's office number, booking number, offense, address, arresting officer's name, date committed, term of sentence, and discharge date.

RETENTION
10 years
DISPOSITION
Destroy

(Approved 08/15)

CRIMINAL HISTORY RECORDS (Item 17-8)

These are complete histories of arrested individuals which provide complete name, alias, nickname, residence, complete physical description, date of arrest, offense committed, and occupation. They are used for department investigations, statistics and information.

RETENTION
75 years
DISPOSITION
Destroy

(Approved 08/15)

DAILY ACTIVITY RECORDS (Item 17-3)

These records document the actions of officers on duty. Information includes vehicle details, dashboard mounted cameras & body-worn cameras not part of a larger case file, officer details, and other work shift related records.

RETENTION
3 months to 6 months
DISPOSITION
Destroy

(Approved 05/15)

SCHEDULE 17
LAW ENFORCEMENT

DISPATCH AND PATROL RECORDS (Item 17-5)

Records document the actions of dispatch and law officers on duty. Incident requiring further evaluation are not included.

RETENTION

1 day to 90 days

DISPOSITION

Destroy

(Approved 08/15)

HOMICIDE, VIOLENT FELONIES AND SEX CRIME INVESTIGATION FILES (Item 17-2)

These case files are created as a result of an investigation by law enforcement. These files may include the investigative report, original arrest report, supplemental reports, photographs, correspondence, officer's notes, and pertinent laboratory tests and related records. Violent felonies are included in this schedule.

RETENTION

Permanent.

DISPOSITION

May Transfer Archives

(Approved 05/15)

MISDEMEANOR AND FELONY INVESTIGATION FILES (Item 17-1)

These case files are created as a result of an investigation by law enforcement. These files may include the investigative report, original arrest report, supplemental reports, photographs, correspondence, officer's notes, and pertinent laboratory tests and related records.

RETENTION

5 years after case is closed

DISPOSITION

Destroy

(Approved 05/15)

SCHEDULE 17
LAW ENFORCEMENT

MUG SHOT RECORDS (Item 17-7)

These are photographs and descriptions of arrested individuals which provide complete name, alias, physical description, date of arrest, and offense committed. Booking information may be included.

RETENTION

75 years

DISPOSITION

Transfer to Archives

(Approved 08/15)

SUICIDE INVESTIGATION FILES (Item 17-4)

These case files are created as a result of an investigation by law enforcement. These files may include the investigative report, supplemental reports, photographs, correspondence, officer's notes, and pertinent laboratory tests and related records.

RETENTION

Permanent.

DISPOSITION

May Transfer Archives

(Approved 05/15)