SCHEDULE 1
ADMINISTRATIVE RECORDS

ACKNOWLEDGMENT FILES (Item 1-1)

Acknowledgment records, transmittal inquiries, and requests that have been referred elsewhere for reply.

RETENTION

Record copy: Retain for 3 months after acknowledgment and/or referral and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

SUGGESTED SECONDARY DESIGNATION

Private: UCA 63G-2-302 (1)(h) (2008)

(Approved 07/90)

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 administrative need ends, whichever is first, and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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 52-4-7 (2005) requires that written minutes be kept of all open meetings. May include audio and video recordings.

RETENTION

Record copy: Permanent. Retain by agency for 5 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency for 5 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

ADMINISTRATIVE POLICY AND PROGRAM RECORDS (Item 1-24)

Records created by agency administration to document the research, creation and application of agency programs, policies and procedures. May include correspondence, policy and program case files, and executive files documenting leadership roles and decision making processes.

RETENTION

Record copy: Permanent. Retain by agency for 3 years and then transfer to Archives with authority to weed.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 01/04)

ADMINISTRATIVE REFERENCE/READING FILES (Item 1-3)

Record of all memoranda and correspondence generated by an agency and retained only for reference purposes.

RETENTION

Record copy: Retain for 1 year or until administrative need ends, whichever is first, and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

ADMINISTRATIVE RULE RECORDS (Item 1-42)

Also known as the administrative record. Information an agency relies upon when making a rule under UCA 63-45a-1 et seq. (2004), including copies of the proposed rule, change in the proposed rule, and the rule analysis; the public comment received and recorded by the agency during the public comment period; the agency's response to the public comment; the agency's analysis of the public comment; and the agency's report of its decision-making process. 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

Record copy: Retain by Agency for 6 years after effective date and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 02/06)

AGENCY HISTORIES (Item 1-4)

Records which document an agency's history. Includes scrapbooks, photographs, articles, program notes and information about events and programs sponsored or funded by an agency. May also include narrative audio and audiovisual agency histories.

RETENTION

Record copy: Permanent. Retain by agency for 10 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

AMERICANS WITH DISABILITIES ACT REQUESTS FOR ACCOMMODATIONS (Item 1-49)

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 and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private: UCA 63G-2-302(1)(b)(2008).

(Approved 10/01)

ATTORNEYS GENERAL OPINIONS (Item 1-5)

Copies of legal interpretations of the Attorney General's office written at the request of an agency asking for guidance in enforcing, obeying, and/or interpretation of the law. The Attorney General's Office maintains the record copy of all official opinions.

RETENTION

Retain by the agency until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 12/05)

COMMITTEE AND BOARD FILES (Item 1-6)

Records created by an official committee or board, including advisory committees, relating to executive establishment, organization, membership, and policy. Includes agenda, meeting minutes, final reports, and related records documenting the accomplishments of official boards and committees. May include audio and video recording.

RETENTION

Record copy: Permanent. Retain by agency for 3 years and then transfer to State Archives.

Duplicate copies: Retain by agency for 5 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

COMMUNICATION LOGS (Item 1-15)

Records which provide detailed information on incoming and/or outgoing documents, data, and other communications that require distribution or action.

RETENTION

Record copy: Retain by agency for 1 year and then destroy.

Duplicate copies: Retain by agency for 6 months and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

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

Record copy: Permanent. May be transferred to the State Archives.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 10/01)

FINDING AIDS (Item 1-11)

Indices, lists, catalogs, registers, guides, and other aids necessary for the efficient use of other records.

RETENTION

Record copy: Retain until records to which they pertain are destroyed or destroy when no longer needed for reference.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

FORMS FILES (Item 1-13)

A clean copy of each form created by an agency with related instructions and documentation showing the creation, development, scope, and purpose of the form.

RETENTION

Record copy: Retain for 1 month after form is discontinued, superseded or cancelled and then destroy.

Duplicate copies: Retain until form is discontinued and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

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 authorization has been provided and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

(Approved 04/10)

INTERNAL COMMITTEE RECORDS (Item 1-17)

Records documenting the establishment, the organization, membership, and activities of committees and other staff non-policy making groups to handle problems or issues within an governmental entity. They usually include agenda, internal memoranda, notes, and informal minutes.

RETENTION

2 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 12/05)

MAILING LISTS (Item 1-46)

Lists of individuals, companies, or other entities with which the agency corresponds. Information includes street addresses, electronic mail addresses, and phone and FAX numbers.

RETENTION

Retain by agency until superseded and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 08/96)

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

Record copy: Retain by agency for 5 years or until system updated and then destroy.

Duplicate copies: Retain by agency for 2 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Protected: UCA 63G-2-305 (11) (2008).

(Approved 02/06)

MEETING RECORDINGS (Item 1-41)

Audio or video recordings which document what transpired at committee and board meetings, conferences, and administrative hearings. They are usually used to create official minutes. UCA 52-4-203 requires that "written minutes shall be kept of all open meetings." UCA 52-4-206 states a public body that closes a meeting "shall make a recording of the closed portion of the meeting; and may keep detailed written minutes that disclose the content of the closed portion of the meeting." The recording is the official record of a closed meeting, and may not be transcribed for the purposes of retention. Open meeting recordings are public records and "shall be available to the public for listening within three business days after the end of the meeting" [UCA 52-4-203 (4)f].

RETENTION

3 years after approval of official minutes and then destroy. Closed meeting recordings are Permanent.

SUGGESTED PRIMARY DESIGNATION

Public: UCA 63G-2-301 (2008).

SUGGESTED SECONDARY DESIGNATION

Protected: Closed Meetings: UCA 63G-2-305(32) and 52-4-206(5)

(Approved 10/11)

MINUTES (Item 1-51)

Minutes of open and closed committee and board meetings as required by UCA 52-4-7.5(2005), et seq. "Written minutes shall be kept of all open meetings" UCA 52-4-7 (2005). May include agenda, meeting minutes, transcripts, and other supporting documentation.

RETENTION

Permanent. May be transferred to the State Archives.

SUGGESTED PRIMARY DESIGNATION

Public.

SUGGESTED SECONDARY DESIGNATION

Protected: UCA 63G-2-305(32)(2008); UCA 52-4-7.5(2)(b)(i)(2008)

(Approved 10/01)

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

Record copy: Permanent. Retain by agency for 3 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency until superseded and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

PENDING FILES (Item 1-21)

Papers arranged in chronological order as a reminder that action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date. May also be called a "tickler" or "chron file."

RETENTION

Retain until action taken or reply received and then incorporate into official files.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

PERFORMANCE AUDIT (Item 1-22)

These are reports written and prepared as a result of a performance audit on state agencies by an outside agency. They contain summary documentation on agency programs, operations and productivity.

RETENTION

Record copy: Permanent. Retain by agency for 3 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency for 3 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

POLICIES AND PROCEDURES MANUALS (Item 1-23)

Policies and procedures that govern the operation and administration of various programs within the organization.

RETENTION

Record copy: Permanent. Retain by agency until superseded and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency until superseded and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

POLICY AND PROGRAM CORRESPONDENCE (Item 1-9)

Business-related correspondence which provide unique information about agency functions, policies, procedures, or programs. These records document material discussions and decisions made regarding all agency interests, and may originate on paper, electronic mail, or other media. This correspondence is filed separately from program case files, and project files.

RETENTION

Record copy: Permanent. Retain by agency until administrative need ends and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 02/05)

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

Record copy: Permanent. Retain by agency for 5 years and then transfer to the State Archives with.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

SUGGESTED SECONDARY DESIGNATION

Protected: UCA 63G-2-305 (19) (2008)

(Approved 12/92)

PUBLICATIONS (Item 1-25)

Documents created by the agency, including pamphlets, reports, leaflets, file manuals, annual reports, other published or processed documents, and the last manuscript report, if not published, relating to management projects.

RETENTION

Record copy: Permanent. Creating agency shall transfer one copy to State Archives when published.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

RECORDS ACCESS REQUEST AND APPEALS FILES (Item 1-34)

Case files that contain information on Government Records Access and Management Act (GRAMA) requests from individuals seeking access to government records, as provided under UCA 63-2-204 (2005) and access appeals to the designated Records Officer, Chief Administrative Officer, State Records Committee, and the District Court. They contain correspondence, copies of requests, research notes, court documents, and any other documentation concerning the request and appeal process.

RETENTION

Record copy: Retain by agency for 2 years after final response completed and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 12/05)

RECORDS AMENDMENT REQUEST FILES (Item 1-35)

Files relate only to requests by individuals "contesting the accuracy or completeness" of records containing information on themselves as provided by UCA 63-2-603 (2005). Includes the individual's request to amend and/or review, agency approval or denial of the request, statements of disagreement, agency justification for refusal to amend a record, subsequent appeals of the agency's decision, and related materials.

RETENTION

Record copy: Retain by agency for 4 years after resolution of request and then destroy.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 12/05)

RECORDS DESTRUCTION FILES (Item 1-38)

Records which document the destruction of a governmental agency's records, such as destruction letters or destruction logs. May also contain documentation of records maintained and destroyed by the State Archives.

RETENTION

Record copy: Retain by agency for 5 years after destruction of records and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 02/06)

RECORDS MANAGEMENT FILES (Item 1-37)

Records used in creating and establishing records management programs. They may contain records inventories, related correspondence, classification designations, records control, equipment, filing procedures/manuals, training information, and other documents created by the State Archives and other agencies to facilitate records management practices. May also contain information on records management equipment and/or computer software.

RETENTION

Record copy: Retain by agency until updated or superseded and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 12/92)

RECORDS TRANSFER SHEETS (RTS) (Item 1-26)

Descriptive listings of agency records transferred to the State Records Center. Information includes record series number, agency name and address, records officer's name and signature, Chief administrative Officer's name, record series title and inclusive dates, classification information, accession number, agency box number, description of box contents, and records center box location.

RETENTION

Record copy: Retain by agency for 5 years after records are destroyed or transferred to the State Archives and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 12/05)

TECHNICAL REFERENCE FILES (Item 1-29)

These files contain copies of documents retained strictly for reference and informational purposes which are not part of the official files. Include copies of reports, studies, special compilations of data, drawings, periodicals, books, clippings, brochures, catalogs, and vendor price lists.

RETENTION

Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

TRANSITORY CORRESPONDENCE (Item 1-47)

Business-related correspondence that is routine or transitory in nature and does not offer unique information about agency functions or programs. These records include acknowledgment files and most day-to-day office and housekeeping correspondence. These records may originate on paper, electronic mail, or other media. This correspondence is filed separately from program and project case files.

RETENTION

Record copy: Retain by agency until administrative need ends and then destroy.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 02/05)

TRANSITORY FILES (Item 1-30)

Papers of short-term interest which have no documentary or evidential value. Includes quasi-official notices such as for holidays, charity, and fund appeals, bond campaigns, and other similar papers.

RETENTION

3 months or until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

VISITOR REGISTRATION RECORDS (Item 1-52)

Records documenting visits to agencies, usage of materials, and other information about the public's contact with government. Information may include names, home city and state, number in party, and purpose of visit.

RETENTION

6 months and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 01/02)

WORKING FILES (Item 1-33)

These are project background records, such as preliminary studies, analyses, notes, and interim reports.

RETENTION

1 year after project closed and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 12/92)

SCHEDULE 2
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

Record copy: Permanent. Retain by agency for 7 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency for 5 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Permanent. Retain by agency for 5 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency for 5 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

BUDGET APPORTIONMENT FILES (Item 2-5)

Apportionment and reapportionment schedules, proposing monthly obligations under each authorized appropriation.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

SUGGESTED SECONDARY DESIGNATION

Private: UCA 63G-2-302 (1)(e) (2008)

(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

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

SUGGESTED SECONDARY DESIGNATION

Private: UCA 63G-2-302 (1)(e) (2008)

(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

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public: UCA 63G-2-301 (1)(b) (2008).

SUGGESTED SECONDARY DESIGNATION

Private: UCA 63G-2-302 (1)(e) (2008)

(Approved 10/01)

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

Record copy: Permanent. Retain by agency for 7 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency for 5 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by agency for 3 years after grant has expired and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by agency until superseded or obsolete and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

PERIODIC BUDGET REPORTS (Item 2-11)

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

RETENTION

Record copy: Retain by agency for 3 years after the close of the fiscal year and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain for 1 year after rejection or withdrawal and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

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

Record copy: Permanent. Retain by agency until administrative need ends and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

SUGGESTED SECONDARY DESIGNATION

Protected.

(Approved 06/06)

CARTOGRAPHIC WORKING FILES (Item 3-2)

Cartographic records which do not include the officially designated record copy of maps created by an agency. These records may include reference copies and working information compiled during the creation of an agency's maps.

RETENTION

Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

SUGGESTED SECONDARY DESIGNATION

Protected.

(Approved 06/06)

SCHEDULE 4
COMMUNICATIONS RECORDS

MAIL CONTROL RECORDS (Item 4-1)

Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, including statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post).

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 6 months and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

STATE MAIL AND DELIVERY SERVICE RECEIPTS (Item 4-3)

Records of receipts for mail and packages received through the state mail system.

RETENTION

Record copy: Retain by agency for 1 year and then destroy.

Duplicate copies: Retain by agency for 6 months and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

TELECOMMUNICATIONS REFERENCE VOUCHER AND BILLING RECORDS (Item 4-4)

Reference copies of vouchers, bills, and invoices, relating to the installation, change, removal, and servicing of equipment.

RETENTION

Record copy: Retain by Information Technology Services for 5 years and then destroy.

Duplicate copies: Retain by agency for 3 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

TELECOMMUNICATIONS SERVICE AGREEMENTS (Item 4-5)

Copies of agreements with background data and other records relating to agreements for telecommunications services.

RETENTION

Record copy: Retain by Information Technology Services for 4 years after expiration or cancellation of agreement and then destroy.

Duplicate copies: Retain by agency for 2 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

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

Record copy: Retain by Information Technology Services for 5 years and then destroy.

Duplicate copies: Retain by agency for 3 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

TELECOMMUNICATIONS STATISTICAL REPORTS (Item 4-7)

Statistical information gathered from a telecommunication program to document cost and volume. Information includes repair orders, billings, new equipment purchases, and accounting information.

RETENTION

Record copy: Retain for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 12/05)

TELEPHONE MESSAGE REGISTERS (Item 4-8)

Message registers, logs, performance reports, daily load reports, and related or similar records.

RETENTION

Record copy: Retain for 6 months and then destroy.

Duplicate copies: Retain for 1 month and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 12/05)

TELEPHONE MESSAGES (Item 4-9)

Incoming and outgoing telephone messages.

RETENTION

Retain until call is returned and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 12/05)

SCHEDULE 5
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

Record copy: Retain by agency until administrative need ends and then destroy.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

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

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

RETENTION

Record copy: Retain by Information Technology Services or the appropriate agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by Information Technology Services or the appropriate agency for 1 year after disposal of equipment and then destroy.

Duplicate copies: Retain until the equipment is sold or disposed of and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

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

Record copy: Retain until administrative need ends and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

COMPUTER TRANSACTION REPORTS (Item 5-4)

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

RETENTION

Record copy: Retain by agency for 2 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by Information Technology Services for 5 years and then destroy.

Duplicate copies: Retain by agency for 3 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

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

Record copy: Permanent. Retain by the Governor's Office of Planning and Budget for 10 years.

Duplicate copies: Retain by agency for 3 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

DOCUMENTATION FOR NON-PERMANENT DATABASES (Item 5-8)

Records describing how a database system is operated. Information may include records documenting the development or modification of a database which are necessary to access, retrieve, manipulate, or utilize the system. May also include user guides, system definitions, flowcharts, program descriptions, and logical relationships. This documentation only includes that of databases whose information is not considered permanent or otherwise significant.

RETENTION

Record copy: Retain until superseded or deletion of the database and then destroy.

Duplicate copies: Retain until superseded and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 12/96)

DOCUMENTATION FOR PERMANENT DATABASES (Item 5-9)

Records describing how a database system is operated. Information may include records documenting the development or modification of a database which are necessary to access, retrieve, manipulate, or utilize the system. May also include user guides, system definitions, flowcharts, program descriptions, and logical relationships. This documentation only includes that of databases whose information is considered permanent or otherwise significant.

RETENTION

Record copy: Permanent. Retain by agency in office permanently.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 12/96)

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

Record copy: Retain for 1 year after related programs cease to be used and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by agency for 3 years after the program is discontinued and then destroy.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

SCHEDULE 6
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

Record copy: Retain by agency for 15 years and then destroy.

Duplicate copies: Retain until superseded and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 12/92)

APPRAISAL FILES (Item 6-1)

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

RETENTION

Record copy: Retain until superseded or obsolete and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

AS-BUILT CONSTRUCTION PLANS AND SPECIFICATIONS (Item 6-2)

Final plans and specifications for approved and constructed state buildings.

RETENTION

Record copy: Permanent. Retain until microfilmed and then transfer copy of microfilm to State Archives with authority to weed.

Duplicate copies: Retain for 5 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

BUILDING AND EQUIPMENT SERVICE FILES (Item 6-3)

Requests for building and equipment maintenance services, excluding fiscal copies.

RETENTION

Record copy: Retain by Facilities Construction Management for 3 years after fiscal year ends and then destroy.

Duplicate copies: Retain by agency for 3 months and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

CONSTRUCTION PLANS IN-REVIEW (Item 6-5)

Preliminary designs and specifications prepared by architectural firms for review by state agency.

RETENTION

Record copy: Retain for 1 year after approval or rejection of final plans and then destroy.

Duplicate copies: Retain until construction phase begins and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Permanent. Retain by agency until administrative need ends and then transfer to State Archives with authority to weed.

Duplicate copies: Retain for 6 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

FACILITIES MANAGEMENT GUIDELINES (Item 6-7)

Information pertaining to handicapped access, historic preservation, energy conservation, environmental protection, and planning.

RETENTION

Record copy: Retain for 3 years and then destroy.
Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

MAINTENANCE WORK ORDERS (Item 6-8)

Requests from agencies for repair of building equipment, minor construction, or painting.

RETENTION

Record copy: Retain by Facilities Construction Management for 3 years and then destroy.
Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Permanent. Retain by Facilities Construction Management for 10 years and then transfer to State Archives with authority to weed.
Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

SPACE UTILIZATION REPORTS (Item 6-10)

Reports on the amount of floor space in agency buildings, number of rooms, and the capacity.

RETENTION

Record copy: Retain until superseded or obsolete and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain until superseded or obsolete and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

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

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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 and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by the Division of Finance for 3 years and then destroy.

Duplicate copies: Retain for 2 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

AUDIT REPORTS (Item 7-7)

These are reports prepared by auditors for entities by examining and verifying the entities' financial activities for the year.

RETENTION

Permanent. May be transferred to the State Archives.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

BANK DAILY TOTALS (Item 7-8)

Daily report from bank that is used for reconciliation.

RETENTION

Record copy: Retain by the State Treasurer's Office for 1 year and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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 and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 12/96)

BOND OFFICIAL TRANSCRIPTS (Item 7-10)

Official files regarding authority to permit bond negotiations with paying agent.

RETENTION

Record copy: Permanent. Retain by the State Treasurer's Office for 3 years after bond expires and then transfer to State Archives with authority to weed.

Duplicate copies: Retain until paid or cancelled and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

BOND REGISTRATION FILES (Item 7-11)

Issuing agent's copies of bond registration stubs.

RETENTION

Record copy: Retain for 2 years and then destroy.

Duplicate copies: Retain for 2 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

(Approved 07/90)

BONDS, NOTES AND COUPONS PAID (Item 7-12)

Coupons and notes redeemed throughout the lifetime of the bond.

RETENTION

Record copy: Retain by the State Treasurer's Office until redeemed by paying agency and then destroy.

Duplicate copies: Retain until redeemed by paying agency and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

CASH RECEIPT TRANSACTION FORM (FI-33) (Item 7-17)

Cash receipt transaction forms accompanying agency deposits to the State Treasurer's Office.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

CASH RECEIPTS (Item 7-13)

Agency copy of receipts given to customers who pay the agency for services rendered.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain until obsolete or for 3 years, whichever is first, and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

COLLECTION BONDS (Item 7-14)

Collection agency bonds are bonds filed by collection agencies in the state.

RETENTION

Record copy: Retain by agency for 7 years after bond expiration and then destroy.

Duplicate copies: Retain for 2 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

COST REPORT DATA FILES (Item 7-16)

Ledgers and forms used to accumulate data for use in cost reports.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

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

Record copy: Retain for 2 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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 and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 10/01)

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 acounting system, and other relevant information. Includes cash receipts (CR), inter-agency transactions (IAT), and revenue (IN) transactions.

RETENTION

Record copy: Retain for 3 years after the end of the fiscal year in which they were initiated and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain for 7 years after the end of the fiscal year in which they were initiated and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by the Division of Finance for 7 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 06/96)

FINANCIAL INFORMATION RESOURCES SYSTEM (FIRMS) PERIODIC REPORTS (Item 7-21)

Includes the following: FICAA01T Trail balance monthly. FICAA05P Outstanding encumbrance. FICAA09P Outstanding reservation. FICAA10P Cash deposits. FICAA30P General ledger activity. FICAA85P Revenue and expenditure status by fund. FICAED01 Expenditure detail by sub-account. FICAES01 Expenditure status by sub-account. FICAES02 Work program/expenditure comparison by summary account. FICARD01 Revenue detail by sub-account within organization. FICARS01 Revenue status by sub-account. FICARS02 Estimated revenue/realized revenues. FICAER01 Expenditure/revenue summary by level 2. FICAMP01 Revenue account status by activity other than Department of Transportation. OBSOLETE RECORD SERIES BY 1998.

RETENTION

Record copy: Retain by the Division of Finance for 5 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

SUGGESTED SECONDARY DESIGNATION

Private: UCA 63G-2-302 (1)(e) (2008)

(Approved 07/90)

FINANCIAL INFORMATION RESOURCES SYSTEM (FIRMS) YEAR END REPORT (Item 7-22)

Yearly or period 13 edition of FIRMS reports. OBSOLETE RECORD SERIES BY 1998.

RETENTION

Record copy: Retain by the Division of Finance for 10 years and then destroy.

Duplicate copies: Retain by agency for 5 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

SUGGESTED SECONDARY DESIGNATION

Private: UCA 63G-2-302 (1)(e) (2008)

(Approved 07/90)

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

Record copy: Retain by agency for 2 years and then destroy.

Duplicate copies: Retain until updated or superseded and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by agency for 3 years after the period of the account and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by agency for 3 years after restitution is made and then destroy.

Duplicate copies: Retain until restitution is made and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

GENERAL ACCOUNTING LEDGER (Item 7-25)

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

RETENTION

Record copy: Retain for 7 years and then destroy.
Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

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

Record copy: Retain by the Division of Finance for 10 years and then destroy.
Duplicate copies: Retain by agency for 2 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 12/92)

NOTARY BOND FILES (Item 7-28)

Posted by notaries public conditioned for the faithful performance of duties.

RETENTION

Record copy: Retain by the Lieutenant Governor's Office for 7 years after expiration and then destroy.
Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

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

Record copy: Retain by agency for 7 years after expiration and then destroy.

Duplicate copies: Retain for 2 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

PERSONAL SURETY BONDS (Item 7-31)

Official copies of the bond and attached powers of attorney.

RETENTION

Record copy: Retain by agency for 15 years after bond becomes inactive and then destroy.

Duplicate copies: Retain until bond becomes inactive and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

REAL ESTATE PURCHASE WARRANT REQUESTS (Item 7-51)

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

RETENTION

Record copy: Permanent. Retain by agency for 5 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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 and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 04/09)

STATE GENERAL OBLIGATION BONDS (Item 7-36)

Bonds authorized by the Legislature under the guidance of the State Bonding Committee of which the State Treasurer is a member. They represent an obligation by the State, and are supported by the full faith and credit of the State. They have terms of 5-7 years. Interest is paid semi-annually on January 1 and July 1. New issues are all book-entry bond coupons.

RETENTION

Record copy: Retain for 1 year after paid or cancelled and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

STATE REVENUE BONDS (Item 7-37)

Files which document the obligations of the State support by a specific revenue source. They are generally terms of 3-20 years. The most common are State Revenue Bonds which include leases and rentals. They have interest paid semi-annually.

RETENTION

Record copy: Retain for 1 year after paid or cancelled and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 12/96)

STORES ACCOUNTING FILES (Item 7-38)

Files used for the acquisition of items purchased through the Division of Central Stores. Information includes accounting records and returned items form.

RETENTION

Record copy: Retain by the Division of Central Stores for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

STORES ACCOUNTING WORK PAPERS (Item 7-39)

Work papers used in accumulating stores accounting data.

RETENTION

Record copy: Retain for 2 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

STORES INVOICE FILES (Item 7-40)

Invoice or equivalent records used for stores accounting purposes.

RETENTION

Record copy: Retain for 3 years and then destroy.
Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain for 1 year after paid or cancelled and then destroy.
Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by agency for 3 years and then destroy.
Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain for 7 years and then destroy.
Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

SUGGESTED SECONDARY DESIGNATION

Private: UCA 63G-2-302 (1)(e) (2008)

(Approved 07/90)

WARRANT/CHECK (Item 7-47)

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

RETENTION

Record copy: Retain until redeemed and imaged by the bank. Maintain imaged copy by the Division of Finance for 7 years and then destroy.
Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

SUGGESTED SECONDARY DESIGNATION

Private: UCA 63G-2-302 (1)(e) (2008)

(Approved 07/90)

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 and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

SUGGESTED SECONDARY DESIGNATION

Private: UCA 63G-2-302 (1)(e) (2008)

(Approved 07/90)

SCHEDULE 9
MOTOR VEHICLE MAINTENANCE AND OPERATIONS RECORDS

AUTOMOBILE TITLES (Item 9-1)

Records which prove state ownership of the vehicle.

RETENTION

Record copy: Retain until vehicle is sold and then transfer to buyer.

Duplicate copies: Retain until administrative ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by Motor Pool Office for 3 years and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain for 1 month and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 12/05)

INSURANCE ADJUSTER'S ESTIMATES (Item 9-4)

Adjuster's reports on vehicle repair estimates following an accident.

RETENTION

Record copy: Retain for 3 years and then destroy.
Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 12/05)

MANUFACTURERS' STATEMENT OF ORIGINS (Item 9-5)

Verification by the manufacturer of the vehicles's manufactured origin.

RETENTION

Record copy: Retain by Motor Pool for 4 years and then destroy.
Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

MOTOR POOL COST FILES (Item 9-6)

Motor pool vehicle ledgers and work sheets providing cost and expense data.

RETENTION

Record copy: Retain by Motor Pool for 5 years and then destroy.
Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

MOTOR POOL RELEASE FILES (Item 9-8)

Records relating to the transfer, sale, donation, or exchange of state vehicles.

RETENTION

Record copy: Retain by Motor Pool for 5 years after vehicle leaves custody and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 12/92)

MOTOR POOL VEHICLE MAINTENANCE FILES (Item 9-9)

Maintenance records, including those relating to service and repair of state vehicles.

RETENTION

Record copy: Retain by Motor Pool until vehicle sold or until obsolete and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

MOTOR POOL VEHICLE OPERATIONS FILES (Item 9-10)

Operating records including those relating to gas and oil consumption, dispatching, and scheduling.

RETENTION

Record copy: Retain by Motor Pool Office until obsolete (usually for the lifetime of the vehicle) and then destroy.

Duplicate copies: Retain for 3 months and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

VEHICLE REGISTRATION CERTIFICATES (Item 9-11)

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

RETENTION

Record copy: Retain by Motor Pool Office until vehicle is sold and then transfer to buyer.

Duplicate copies: Retain until vehicle is sold and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

VEHICLE REPAIR WORK ORDER (Item 9-12)

Requests to perform maintenance on a vehicle and the actual work performed.

RETENTION

Record copy: Retain by Motor Pool Office for 3 years and then destroy.

Duplicate copies: Retain by agency for 6 months and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

SCHEDULE 10
PAYROLL RECORDS

ADMINISTRATIVE PAYROLL REPORTS (Item 10-1)

Reports and statistics with supporting and related records pertaining to workload and personnel management, payroll operations and administration.

RETENTION

Record copy: Retain by agency for 2 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Public: UCA-63G-2-301 (1)(b) (2008)

(Approved 07/90)

BUDGET AUTHORIZATION RECORDS (Item 10-2)

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

RETENTION

Record copy: Retain by agency for 2 years and then destroy.

Duplicate copies: Retain until superseded and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Public: UCA 63G-2-301 (1)(b) (2008)

(Approved 10/01)

DEDUCTIONS AND OTHER EARNING REGISTERS (Item 10-3)

Report by low organization number used to reference the amount of retirement deducted and other miscellaneous deductions.

RETENTION

Record copy: Retain by the Division of Finance for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Public: UCA 63G-2-301 (1)(b) (2008)

(Approved 07/90)

EMPLOYEE BENEFIT MATCHING MONEY REPORT (Item 10-4)

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

RETENTION

Record copy: Retain by the Division of Finance for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Public: UCA 63G-2-301 (1)(b) (2008)

(Approved 07/90)

FULL-TIME EMPLOYEE REPORT (Item 10-6)

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

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Public: UCA 63G-2-301 (1)(b) (2008)

(Approved 07/90)

GARNISHMENTS (Item 10-7)

Record of garnishments or levies for debts owed by the employee.

RETENTION

Record copy: Retain by the Division of Finance for 3 years after end of garnishment and then destroy.

Duplicate copies: Retain until end of garnishment and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Public: UCA 63G-2-301 (1)(b) (2008)

(Approved 07/90)

INSURANCE DEDUCTION FILES (Item 10-9)

Reports and related papers including copies of vouchers and schedules of payment pertaining to insurance deductions.

RETENTION

Record copy: Retain by the Division of Finance for 3 years after separation of employee and then destroy.

Duplicate copies: Retain until separation of employee and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

(Approved 07/90)

LEAVE ADJUSTMENT REPORTS (Item 10-10)

Shows all leave adjustments made during a pay period. Shows category of adjustment, the amount, social security number, and employee name.

RETENTION

Record copy: Retain by the Division of Finance for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Public: UCA 63G-2-301 (1)(b) (2008)

(Approved 07/90)

LEAVE APPLICATIONS (Item 10-11)

Applications for leave and supporting papers relating to request for and approval of employee leave.

RETENTION

Record copy: Retain by agency for 1 year and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

(Approved 10/01)

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

Record copy: Retain by the Division of Finance for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Public: UCA 63G-2-301 (1)(b) (2008)

(Approved 07/90)

LEAVE SUMMARY REPORT (Item 10-13)

Reports which document the kind and amount of leave taken by an employee during a calendar year. After they are signed by the employee, they are maintained in the official personnel file.

RETENTION

Record copy: Retain until report is made part of official agency personnel file.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Public: UCA 63G-2-301 (1)(b) (2008)

(Approved 07/90)

NOTICES OF PAYROLL ACTION (DHRM33) (Item 10-14)

Notices which document all payroll actions entered into the Department of Human Resource Management automated system.

RETENTION

Record copy: Retain by agency until notices are made part of official agency personnel file.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Public: UCA 63G-2-301 (1)(b) (2008)

(Approved 07/90)

PAYROLL APPROVAL RECORDS (Item 10-28)

Records that are printed from the SAP Payroll System. They are used to check the accuracy of payments from the Payroll System and document the review and approval process for audit purposes. The records include the Payroll Review & Approval Documentation Cover Sheet which verifies that a manager, or supervisor has reviewed the Time Summary Report, the Time Edit Report, the Time Entered after Cutoff Report, and the Payroll Results Edit Report. These records also verify that the entries are correct based on the approved time sheets and verify that any changes were properly authorized.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 02/06)

PAYROLL REGISTER (Item 10-15)

History of earnings, deductions, taxes, net income, and warrant or direct deposit information. These documents are prepared and used for payroll disbursement.

RETENTION

Record copy: Retain by the Division of Finance for 4 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Public: UCA 63G-2-301 (1)(b) (2008)

(Approved 07/90)

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

Record copy: Retain by Division of Finance for 1 year or until administrative need ends and then destroy.

Duplicate copies: Retain by agency for 3 months and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Public: UCA 63G-2-301 (1)(b) (2008)

(Approved 07/90)

RETIREMENT BENEFITS ASSISTANCE FILES (Item 10-17)

Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors in claiming insurance or retirement benefits.

RETENTION

Record copy: Retain by agency for 1 year and then transfer to Employee retirement file.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Public: UCA 63G-2-301 (1)(b) (2008)

(Approved 10/01)

RETIREMENT FILES (Item 10-18)

Reports and register control documents relating to retirement.

RETENTION

Record copy: Retain by the Retirement Office for 10 years after separation or termination and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Public: UCA 63G-2-301 (1)(b) (2008)

(Approved 10/01)

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 by agency as part of employee's personnel file for 3 years and then destroy.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

(Approved 08/96)

SAVINGS BOND PURCHASE FILES (Item 10-19)

Forms and reports with related records pertaining to deposits and purchase of bonds.

RETENTION

Record copy: Retain by the Division of Finance for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

SAVINGS BOND PURCHASE SUMMARY (Item 10-20)

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

RETENTION

Record copy: Retain by agency for 2 years and then destroy.

Duplicate copies: Retain for 6 months and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by the Division of Finance for 3 years and then destroy.

Duplicate copies: Retain for 6 months and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Public: UCA 63G-2-301 (1)(b) (2008)

(Approved 07/90)

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

Record copy: Retain by the Division of Finance for 2 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by the Division of Finance for 2 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Public: UCA 63G-2-301 (1)(b) (2008)

(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

Record copy: Retain by the Division of Finance for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Public: UCA 63G-2-301 (1)(b) (2008)

(Approved 07/90)

TAXABLE WAGE EARNING REPORTS (Item 10-24)

Returns on income taxes such as IRS Form W-2 and reports of withheld federal taxes, such as IRS Form W-3, with related records, including reports regarding income and social security taxes.

RETENTION

Record copy: Retain by the Division of Finance for 4 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

(Approved 07/90)

TIME AND ATTENDANCE REPORTS (Item 10-25)

State employee time sheets, including flextime attendance reports, supplemental time and attendance records (such as sign-in/sign-out sheets), and work reports that are used for time accounting under flextime systems.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

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

Record copy: Retain by the Division of Finance for 4 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

(Approved 04/06)

SCHEDULE 11
HUMAN RESOURCE RECORDS

ADVERSE ACTION FILES (Item 11-1)

Case files and related records created in reviewing an adverse action (disciplinary or non-disciplinary separation, suspension without pay, reduction in force) against the employee. The file includes a copy of the proposed adverse action with supporting papers; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal of records.

RETENTION

Record copy: Retain by agency for 5 years or until case is resolved, whichever is greater and then destroy.

Duplicate copies: Retain for 5 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Protected.

SUGGESTED SECONDARY DESIGNATION

Private.

(Approved 02/06)

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 termination, retirement, or reasonable accommodation, whichever is first and then destroy.

SUGGESTED PRIMARY DESIGNATION

Protected: UCA 63G-2-305 (2008).

(Approved 06/97)

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

Record copy: Retain until reviewed and place in agency personnel file.

Duplicate copies: Retain until superseded and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Public: UCA 63G-2-301 (1)(b) (2008)

(Approved 10/01)

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

Record copy: Retain by Department of Human Resource Management field locations for 1 year and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private: UCA 63G-2-302 (2008).

(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

Record copy: Retain by Department of Human Resource Management field locations for 5 years and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private: UCA 63G-2-302 (2008).

(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

Retain by Department of Human Resource Management field locations until administative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 02/06)

EMPLOYEE AWARDS (Item 11-9)

Case files which document all employee awards, including recommendations, approved nominations, memoranda, correspondence, reports, and related policies pertaining to agency-sponsored cash and non-cash awards. These files may also document awards from other government agencies or private organizations.

RETENTION

Record copy: Retain by Department of Human Resource Management field locations for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 12/92)

EMPLOYEE PERFORMANCE-RELATED RECORDS (Item 11-30)

Records documenting performance of merit employees. Records include summary performance appraisal records, which may contain job elements, standards used to base the appraisal, performance plans, and any supporting documentation.

RETENTION

Record copy: Retain by Department of Human Resource Management field locations for 3 years as part of employee personnel file and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Public.

(Approved 02/06)

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

Record copy: Retain until made part of employee personnel file.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

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

Record copy: Retain by Department of Human Resource Management field locations for 7 years and then destroy.

Duplicate copies: Retain for 2 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by Department of Human Resource Management field locations for 7 years and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

EQUAL EMPLOYMENT OPPORTUNITY (EEO) DISCRIMINATION COMPLAINT CASE FILES (Item 11-15)

Official complaint files containing complaints, related correspondence, reports, exhibits, withdrawal notices, copies of decisions, and other records as described in 29 CFR 1613.222.

RETENTION

Record copy: Retain by Department of Human Resource Management field locations for 5 years or until case is resolved, whichever is greater and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Public: UCA 63G-2-301 (1)(b) (2008)

(Approved 02/06)

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

Employment statistics relating to race and gender.

RETENTION

Record copy: Permanent. Retain by Department of Human Resource Management for 3 years and then transfer to the State Archives with authority to weed.

Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 10/01)

FAMILY MEDICAL LEAVE APPLICATIONS (Item 11-57)

This record contains applications for an employee to take leave based on the Family and Medical Leave Act of 1993. Information includes payroll and identifying employee data such as name, address, and occupation; rate or basis of pay in terms of compensation; daily and weekly hours worked per pay period; additions to or deductions from wages; total compensation paid; dates (or hours) leave is taken by employee; information regarding employee benefits or employer leave policies; premium payments of employee benefits, and data regarding any dispute between the employer and the employee over the designation of leave as Family and Medical Leave Act leave.

RETENTION

Record copy: Retain by Department of Human Resource Management field locations for 3 years and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Exempt: 29 CFR 825.500(g) (2008).

(Approved 06/96)

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.

RETENTION

Record copy: Retain by Department of Human Resource Management field locations for 5 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

SUGGESTED SECONDARY DESIGNATION

Private: If disclosure has no bearing on state employment

(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 and then destroy.

SUGGESTED PRIMARY DESIGNATION

Controlled: 63G-2-304 (2008).

(Approved 02/06)

GRIEVANCE/APPEAL FILES (Item 11-19)

Records originating with the review of grievance and appeals raised by agency employees, except Equal Employment Opportunity (EEO) complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, exhibits, and records relating to a reconsideration request.

RETENTION

Record copy: Retain for 5 years or until case is resolved, whichever is greater and then destroy.

Duplicate copies: Retain for 4 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Protected: UCA 63G-2-305.

SUGGESTED SECONDARY DESIGNATION

Exempt: UCA 67-19a-101 and 303(4), R137

(Approved 02/06)

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

Record copy: Permanent. Retain by the Department of Human Resource Management until superseded and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency until superseded and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

INCENTIVE AWARDS PROGRAM RECORDS (Item 11-21)

Records containing Department of Human Resource Management approved incentive awards policies and approval forms along with incentive awards criteria.

RETENTION

Record copy: Retain by Department of Human Resource Management field locations for 5 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 02/06)

INDIVIDUAL HEALTH RECORD FILES (Item 11-22)

Records which contain any medical or psychological information that could be used in the following areas: health, accident, and life insurance requests, long term disability applications, Disabled Veterans DD 2-14s, and reports from physicians, etc.

RETENTION

Record copy: Retain by Department of Human Resource Management field locations for 5 years and then destroy.

Duplicate copies: Retain for 2 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Controlled.

SUGGESTED SECONDARY DESIGNATION

Private.

(Approved 04/06)

INTERVIEW RECORDS (Item 11-23)

Correspondence, reports, notes, and other records relating to interviews with prospective employees as described in 29 CFR 1602.14 (2004).

RETENTION

1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Protected: Interview notes UCA 63G-2-305(25)(2008).

SUGGESTED SECONDARY DESIGNATION

Private: UCA 63G-2-302(1)(f) and (2)(a)(2008)

(Approved 10/01)

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

Record copy: Retain by Department of Human Resource Management for 5 years and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by agency as part of employee personnel file for 2 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

OFFICIAL EMPLOYEE PERSONNEL FILE (Item 11-2)

Complete work history of an individual (excluding medical/psychological information) while employed by the State. Refer to UCA 67-18-1 (2005), et seq. and DHRM rules on accessing, maintaining, and managing employee personnel files. The employee's personnel file shall be considered a supplement to the DHRM computerized file and shall be subject to the rules governing personnel files. When an employee transfers to another state agency, the employees's personnel file must be sent to the new agency. The file typically includes applications for employment, career mobility documents, Memorandums of Understanding (MOU's), Employment Eligibility Certification records, Form 1-9 and other documents required by the U.S. Citizenship and Immigration Services; employee signed overtime agreements, personnel actions, corrective action plans, notices of disciplinary action, new employee orientation form checklists, performance plans and evaluations, letters of appreciation/commendation, separation and leave without pay records, employee benefits notification forms for PEHP and URS; references, copies of transcripts, training certifications or preparations, copies of items recorded in the DHRM computerized file, leave and time records; copies of any documents affecting the employee's conduct, status or salary, etc.

RETENTION

Record copy: Retain by Department of Human Resource Management for 65 years after separation of employee and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private: UCA 63G-2-302 (1)(e) (2008).

SUGGESTED SECONDARY DESIGNATION

Public: UCA 63G-2-301 (1)(b) (2008)

(Approved 02/06)

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

Record copy: Retain by Department of Human Resource Management field locations for 3 years Transfer to State Records Center for 7 years and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 02/06)

RECRUITMENT FILES (Item 11-43)

Records contain applications and resumes for employment, recruiter evaluations, testing and examination materials, scores, transcripts, certifications, licenses, hiring lists, correspondence, notes, reports, etc. relating to interviews with prospective employees. Files also include offers that are declined (offers accepted are maintained in the employee personnel file) and related documents.

RETENTION

3 years after hiring decision is made or until pending complaint or litigation is resolved and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

(Approved 02/06)

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

Record copy: Retain for 3 years as part of recruitment file.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Protected.

SUGGESTED SECONDARY DESIGNATION

Private.

(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

Record copy: Permanent. Retain by agency until training program is obsolete and then transfer to State Archives with authority to weed.

Duplicate copies: Retain until superseded or obsolete and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by agency until superseded or obsolete and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

TRAINING CONTRACTS (Item 11-50)

Contracts between state agencies and the Department of Human Resource Management to administer agreed-upon training programs.

RETENTION

Record copy: Retain by the Department of Human Resource Management for 3 years after the end of contract and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain for 10 years and then destroy.
Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 02/06)

VERIFICATION OF EMPLOYMENT ELIGIBILITY (Item 11-51)

Employment documentation required to comply with the Immigration Reform and Control Act, 1986.

RETENTION

Record copy: Retain until made part of agency personnel file.
Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Public: UCA 63G-2-301 (1)(b) (2008)

(Approved 07/90)

VOLUNTEER AND CONTRACTOR PERSONNEL FILES (Item 11-3)

Files intended for personnel who are not paid through the state payroll system (i.e. volunteers, contract personnel, board members, etc.). Records may include copies of correspondence, forms, agreements, or other documents related to employment with the State.

RETENTION
1 year after separation and then destroy.

SUGGESTED PRIMARY DESIGNATION
Private.

SUGGESTED SECONDARY DESIGNATION
Public: UCA 63G-2-301 (1)(b) (2008)

(Approved 02/06)

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 and then destroy.

SUGGESTED PRIMARY DESIGNATION
Private.

(Approved 04/12)

WORKERS COMPENSATION CASE FILES (Item 11-35)

RETENTION
Record copy: Retain by agency for 5 years and then destroy.
Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION
Private.

(Approved 07/90)

SCHEDULE 12
PRINTING RECORDS

CONTROL FILES (Item 12-1)

Control registers pertaining to requisitions and work orders for printing, binding and duplicating services.

RETENTION

Record copy: Retain for 3 years and then destroy.
Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

PRINTING PROJECT FILES (Item 12-3)

Job or project records containing papers and data pertaining to planning and execution of printing, binding, duplication, and distribution jobs.

RETENTION

Record copy: Retain for 2 years and then destroy.
Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

PRINTING REPORT FILES (Item 12-4)

Reports to the Legislature regarding operation of printing and inventories of printing, binding and related equipment in printing or in storage.

RETENTION

Record copy: Retain for 5 years and then destroy.
Duplicate copies: Retain for 1 year and then destroy.

(Approved 07/90)

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

Record copy: Retain by the Division of Purchasing for 1 year after being superseded and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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 cancelled 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

Record copy: Retain for 4 years after cancellation and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Permanent. Retain by the Division of Purchasing for 5 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain for 10 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

CONTRACT PURCHASING FILES (Item 13-4)

Files which document transactions of $10,000 or less and construction contracts under $2,000. They include contract, requisition, purchase order and lease records, correspondence, related records pertaining to award, administration, receipt, inspection, and payments.

RETENTION

Record copy: Retain by agency for 6 years after final payment and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 10/01)

CONTRACT PURCHASING FILES FOR HIGH-VALUE TRANSACTIONS (Item 13-5)

Files which document transactions of more than $10,000 and construction contracts exceeding $2,000. The files include contract, requisition, purchase order and lease records, correspondence and related records pertaining to award, administration, receipt, inspection, and payments.

RETENTION

Record copy: Retain by agency for 6 years and then destroy.

Duplicate copies: Retain until contract termination or completion and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

CONTRACTOR'S PAYROLL FILES (Item 13-6)

Contractor's payrolls (construction contracts) with related certifications, anti-kickback affidavits, and other related records.

RETENTION

Record copy: Retain for 6 years after completion of contract or until final audit and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Public: UCA 63G-2-301 (2008)

(Approved 07/90)

LEASING CONTRACT FILES (Item 13-7)

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

RETENTION

Record copy: Retain for 4 years after contract expires and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

PROFESSIONAL CONTRACTUAL AGREEMENT FILES (Item 13-8)

Files documenting the professional contractual agreements between an agency and a professional individual, or between agencies for temporary services. The files include contract, requisition, purchase order, correspondence, and related records.

RETENTION

Record copy: Retain for 6 years expiration of agreement and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

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

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

RETENTION

Record copy: Retain by the Division of Purchasing upon receipt from agency for 4 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

(Approved 10/01)

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

Requisitions for supplies and equipment for current inventory.

RETENTION

Record copy: Retain by the Division of Purchasing upon receipt from agency for 4 years and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 10/01)

REAL PROPERTY ACQUISITION FILES (Item 13-11)

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

RETENTION

Record copy: Retain for 10 years after unconditional sale of property and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

SUCCESSFUL BIDS AND PROPOSALS FILES (Item 13-12)

Solicited and unsolicited successful bids and proposals to provide products or services to an agency by a private contractor.

RETENTION

Record copy: Retain by the Division of Purchasing for 4 years and then destroy.

Duplicate copies: Retain until related contractual case file has met retention and can be destroyed, and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

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

Record copy: Retain for 2 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

TAX EXEMPTION FILES (Item 13-14)

Tax exemption certificates and related records.

RETENTION

Record copy: Retain for 3 years after period covered by related account and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

UNSUCCESSFUL BIDS AND PROPOSALS FILES (Item 13-16)

These records are solicited and unsolicited unsuccessful bids and proposals to provide products or services to an agency by a private contractor.

RETENTION

Record copy: Retain by the Division of Purchasing for 2 years and then destroy.

Duplicate copies: Retain until related contractual case files have met retention and can be destroyed.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

SCHEDULE 14
SURPLUS 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

Record copy: Permanent. Retain by agency for 6 years after a deed of sale is recorded and then transfer to State Archives with authority to weed.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

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

Record copy: Retain for 6 years and then destroy.

Duplicate copies: Retain for 2 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

SUGGESTED SECONDARY DESIGNATION

Private: Name, phone number, and address of customer

(Approved 07/90)

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

Record copy: Retain by Division of Surplus Property for 2 years after final disposition of property and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 04/06)

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

Record copy: Permanent. Retain by agency for 5 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

COMPLAINT/INFORMANT FILES (Item 15-2)

Whistle-blower, fraud, and criminal complaints. Includes anonymous letters, complaints, criticism and suggestions, and agency replies thereto. Also includes those complaints which were the basis of an investigation or from which administrative action was taken, and those incorporated into individual personnel files.

RETENTION

Record copy: Retain by agency for 7 years after final resolution and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

SUGGESTED SECONDARY DESIGNATION

Controlled: UCA 63G-2-305 (2)(a) (2008)

(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

Record copy: Permanent. Retain by agency for 5 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency for 5 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain for 1 year after close of file or completion of project and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

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

Record copy: Permanent. Retain by agency for 7 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 02/06)

SCHEDULE 16
SECURITY SERVICES RECORDS

DEPARTMENTAL RECOVERY REPORTS (Item 16-1)

Agency reports of operation tests, consisting of consolidated or comprehensive reports reflecting agency-wide results of tests conducted under emergency plans.

RETENTION

Record copy: Permanent. Retain by the Division of Risk Management until superseded or obsolete and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency for 3 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

DISASTER PLANNING FILES (Item 16-2)

Files used to prepare statewide plans for action to address an emergency, e.g. fire, flood, earthquake, and other disasters.

RETENTION

Record copy: Permanent. Retain by agency for 10 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain until superseded and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

SUGGESTED SECONDARY DESIGNATION

Exempt: UCA 63G-2-106 (2008)

(Approved 07/90)

GUARD SERVICE CONTROL FILES (Item 16-4)

Control center key or code records, emergency call cards, building record, and employee identification cards.

RETENTION

Record copy: Retain by agency until superseded or obsolete and then destroy.

Duplicate copies: Retain by agency until superseded or obsolete and then destroy.

SUGGESTED PRIMARY DESIGNATION

Protected: UCA 63G-2-305 (10) (2008).

(Approved 07/90)

INSURANCE REPORTS (Item 16-6)

Reports used for the reference and generation of claims files.

RETENTION

Record copy: Retain by the Division of Risk Management for 12 years and then destroy.

Duplicate copies: Retain for 4 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Protected: UCA 63G-2-305 (23) (2008).

(Approved 07/90)

KEY ACCOUNTABILITY FILES (Item 16-7)

Files relating to accountability for keys issued, including keys to maximum security areas.

RETENTION

Record copy: Retain by agency for 2 years after superseded and then destroy.

Duplicate copies: Retain by agency for 1 month and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

(Approved 07/90)

LIABILITY INSURANCE POLICY FILES (Item 16-8)

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

RETENTION

Record copy: Permanent. Retain by the Division of Risk Managment.

Duplicate copies: Retain for 4 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 07/90)

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

Record copy: Retain by the Division of Risk Management for 20 years and then destroy.

Duplicate copies: Retain for 5 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Protected: UCA 63G-2-305 (10) (2008).

(Approved 07/90)

PERSONNEL SECURITY CLEARANCE FILES (Item 16-11)

Records relating to the current security clearance status of personnel.

RETENTION

Record copy: Retain by agency until superseded or obsolete and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

(Approved 07/90)

PROPERTY INSURANCE POLICY FILES (Item 16-12)

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

RETENTION

Record copy: Retain by the Division of Risk Management for 75 years and then destroy.

Duplicate copies: Retain for 4 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by agency for 5 years and then destroy.

Duplicate copies: Retain by agency for 3 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Protected: UCA 63G-2-305 (10).

(Approved 07/90)

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 administrative need ends and then destroy, provided there is no pending investigation.

SUGGESTED PRIMARY DESIGNATION

Protected.

(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

Record copy: Retain by agency for 2 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY DESIGNATION

Public.

(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

Record copy: Retain by agency for 5 years and then destroy.

Duplicate copies: Retain by agency for 3 years and then destroy.

SUGGESTED PRIMARY DESIGNATION

Private.

(Approved 07/90)