

## **STATE AGENCIES**

## Utah State Archives

**Parent Agency:** Administrative Services  
Finance

**Agency:** Department of Administrative Services. Division of Finance.  
Office of State Debt Collection (2791)  
5110 State Office Building  
Salt Lake City, UT 84114-0000

**Records Officer:** Anne McNally

**AGENCY:** Department of Administrative Services. Division of Finance. Office of State Debt Collection

**SERIES:** 28788

2

**TITLE:** Garnishment records

**DATES:** 1995-

**ARRANGEMENT:**

**DESCRIPTION:**

These records support the agency's function to collect accounts receivables ordered by a court (Utah Code 63A-3-502(6)(a)(2015). Records document garnishment payments and authorizations, and may include copies court information, such as dockets and judgments, bankruptcy information, reconciliation reports, and related notes and correspondence.

**RETENTION:**

Retain 8 years.

**DISPOSITION:**

Destroy.

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 7 years and then destroy.

**APPRAISAL:**

Administrative Fiscal

**PRIMARY DESIGNATION:**

Private Utah Code 63G-2-302(2)(b)(2016)

## Utah State Archives

**Parent Agency:** Administrative Services  
Facilities Construction

**Agency:** Department of Administrative Services. Division of Facilities  
Construction and Management (375)  
4110 State Office Building  
350 North State Street  
Salt Lake City, UT 84114-0000  
801-538-3284

**Records Officer:** Cee Cee Niederhauser

**AGENCY:** Department of Administrative Services. Division of Facilities  
Construction and Management

**SERIES:** 80350

2

**TITLE:** Contractor's prequalification documents

**DATES:** 1982-

**ARRANGEMENT:** chronological.

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

These records support the agency's administrative need to ensure that contractors bidding on state projects are qualified in accordance with state laws. Records document contractors' qualifications and include copies of contractors' licenses and letters from qualified bonding companies certifying that contractors are bonded.

**RETENTION:**

Retain 2 years.

**DISPOSITION:**

Destroy.

**APPROVED:** 12/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 18 months and then transfer to State Records Center. Retain in State Records Center for 6 months and then destroy.

**APPRAISAL:**

Administrative

**RETENTION JUSTIFICATION:**

The agency requires contractor's to submit records to pre-qualify every 18 months. The agency would like to maintain the records for an extra 6 months to be able to review the contractor's previous information.

**AGENCY:** Department of Administrative Services. Division of Facilities Construction and Management

**SERIES:** 80350

**TITLE:** Contractor's prequalification documents

(continued)

**PRIMARY DESIGNATION:**

Public

## Utah State Archives

**Parent Agency:** Administrative Services  
Risk Management

**Agency:** Department of Administrative Services. Division of Risk  
Management (846)  
5120 State Office Building  
P.O. Box 141321  
Salt Lake City, UT 84114-1321  
538-5364

**Records Officer:** Camille Richins

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 59930

2

**TITLE:** Certificates of insurance

**DATES:** 1981-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 0.50 cubic feet.

**DESCRIPTION:**

These records support the agency's function to provide insurance coverage for the following agencies and their employees: state agencies, higher education, school districts, and charter schools(Utah Code 63A-4-101(2)(a)(2006)). Certificates are created in response to requests for verification that entities are insured by the agency and include all related documentation identifying the type of coverage, its limits, and correspondence.

**RETENTION:**

Retain 10 years.

**DISPOSITION:**

Destroy.

**FORMAT MANAGEMENT:**

Paper: For records prior to and including 2010. Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 8 years and then destroy.

Computer data files: Retain in Office for 10 years and then delete.

**APPRAISAL:**

Administrative

The agency requires contractor's to submit records to pre-qualify every 18 months. The agency would like to maintain the records for an extra 6 months to be able to review the contractor's previous information.

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 59930

**TITLE:** Certificates of insurance

(continued)

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 59928

2

**TITLE:** Claims records

**DATES:** 1980-

**ARRANGEMENT:** Numerical by claim number.

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

These records support the agency's function to provide coverage for the following agencies and their employees: state agencies, higher education, school districts, and charter schools (Utah Code 63A-4-101(2)(a)(2006)). Records document the investigation and resolution of claims, and may contain personally identifiable information, psychiatric and medical histories, financial and investigative records, and authorizations for settlement.

**RETENTION:**

Retain 30 years after case is closed.

**DISPOSITION:**

Destroy.

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years after case is closed and then transfer to State Records Center. Retain in State Records Center for 28 years and then destroy.

Computer data files: Retain in Office for 30 years after case is closed and then delete.

**APPRAISAL:**

Administrative Fiscal

**RETENTION JUSTIFICATION:**

Records retention is based upon the need for the records to be retained until any minors involved have reached the age of 18, plus a number of years to ensure that the statute of limitations have been met, as well as any possible opportunities for legal action.

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 59928

**TITLE:** Claims records

(continued)

**PRIMARY DESIGNATION:**

Protected Utah Code 63G-2-305(13, 18, 23, 24)(2015)

**SECONDARY DESIGNATION(S):**

Controlled. Utah Code 63G-2-304(2008)

Private. Utah Code 63G-2-302(1)(b)(2016)

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 59929

2

**TITLE:** Insurance policy contract records

**DATES:** i 1952-

**ARRANGEMENT:** Numerical by policy number

**ANNUAL ACCUMULATION:** 0.20 cubic feet.

**DESCRIPTION:**

These records support the agency's function to provide insurance coverage for the following agencies and their employees: state agencies, higher education, school districts, and charter schools (Utah Code 63A-4-101(2)(a)(2006)). Records contain insurance policy contracts entered into by the state of Utah. Records document the state's protection in the event that a claim is filed, and include coverage and premium payment information.

**RETENTION:**

Retain 25 years after superseded.

**DISPOSITION:**

Destroy.

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 6 years after after superseded and then transfer to State Records Center. Retain in State Records Center for 19 years and then destroy.

Computer data files: Retain in Office for 25 years after after superseded and then delete.

**APPRAISAL:**

Administrative Fiscal

**RETENTION JUSTIFICATION:**

Records retention is based upon the need for the records to be retained until any minors involved in an incident have reached the age of 18, plus a number of years to ensure that the statute of limitations has been reached.

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 59929

**TITLE:** Insurance policy contract records

(continued)

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 59933

2

**TITLE:** Loss control case records

**DATES:** 1986-

**ARRANGEMENT:** Alphabetical by agency

**ANNUAL ACCUMULATION:** 5.00 cubic feet.

**DESCRIPTION:**

These records support the agency's function to protect the state's assets by documenting inspections, consultations, and other services performed by loss control personnel (Utah Code 63A-4-101(2)(c)(2006)). Records contain agency identifiers, inspection or consultation details, and corrective recommendations.

**RETENTION:**

Retain 10 years after final action.

**DISPOSITION:**

Destroy.

**FORMAT MANAGEMENT:**

Paper: For records prior to and including 2014. Retain in Office for 3 years after final action and then transfer to State Records Center. Retain in State Records Center for 7 years and then destroy.

Computer data files: Retain in Office for 10 years after final action and then delete.

**APPRAISAL:**

Administrative

Records retention is based upon the need for the records to be retained until any minors involved in an incident have reached the age of 18, plus a number of years to ensure that the statute of limitations has been reached.

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 59933

**TITLE:** Loss control case records

(continued)

**SECONDARY DESIGNATION(S):**

Protected. Utah Code 63G-2-305(12, 18, 24)(2015)

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 59934

2

**TITLE:** Premium invoices

**DATES:** 1980-

**ARRANGEMENT:** Alphabetical by agency

**ANNUAL ACCUMULATION:** 0.70 cubic feet.

**DESCRIPTION:**

These records support the agency's function to provide insurance coverage for the following agencies and their employees: state agencies, higher education, school districts, and charter schools (Utah Code 63A-4-101(2)(a)(2006)). Records document premiums charged to agencies, and include the official premium notices and related records.

**RETENTION:**

Retain 10 years.

**DISPOSITION:**

Destroy.

**APPROVED:** 02/2006

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 10 years and then destroy.

Computer data files: Retain in Office for 10 years and then delete.

**APPRAISAL:**

Administrative Fiscal

**RETENTION JUSTIFICATION:**

Retention is based on the administrative need of the agency to respond to legislative requests for past premium amounts.

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 59934

**TITLE:** Premium invoices

(continued)

**PRIMARY DESIGNATION:**

Public

## Utah State Archives

**Parent Agency:** Transportation Department  
Civil Rights

**Agency:** Department of Transportation. Office of Civil Rights (1814)

4501 South 2700 West, 4th Floor  
P.O. Box 141520  
Salt Lake City, UT 84114-1520  
965-4100

**Records Officer:** Judy Romrell

**AGENCY:** Department of Transportation. Office of Civil Rights

**SERIES:** 6247

2

**TITLE:** Disadvantaged Business Enterprise certification eligibility records

**DATES:** 1970-

**ARRANGEMENT:** Alphabetical by name.

**ANNUAL ACCUMULATION:** 2.50 cubic feet.

**DESCRIPTION:**

These records support the agency's function to identify and certify businesses owned and controlled by socially and economically disadvantaged individuals working on federally funded highway projects. Records document the eligibility of contractors to participate in the federal Disadvantaged Business Enterprise program, and may include applications and records used to substantiate monetary income levels.

**RETENTION:**

Retain 23 years after final action.

**DISPOSITION:**

Destroy.

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 3 years after final action and then transfer to State Records Center. Retain in State Records Center for 20 years and then destroy.

Computer data files: Retain in Office for 23 years after final action and then delete.

**APPRAISAL:**

Administrative Fiscal

**RETENTION JUSTIFICATION:**

Final action is defined as the decision of certification. Retention period is based on the general audit requirements and administrative need of the agency.

**AGENCY:** Department of Transportation. Office of Civil Rights

**SERIES:** 6247

**TITLE:** Disadvantaged Business Enterprise certification eligibility records

(continued)

**PRIMARY DESIGNATION:**

Exempt 49 CFR 26.109(2)(2016)

**SECONDARY DESIGNATION(S):**

Private. Utah Code 63G-2-302(2)(d)(2016)

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 02/2015.

## Utah State Archives

**Parent Agency:** Environmental Quality  
Waste Management Radiation Con

**Agency:** Department of Environmental Quality. Division of Waste  
Management and Radiation Control (4128)  
195 North 1950 West  
Salt Lake City, UT 84116  
801-536-0200

**Records Officer:** Ralph Bohn

**AGENCY:** Department of Environmental Quality. Division of Waste Management and Radiation Control

**SERIES:** 12695

2

**TITLE:** Hazardous waste management regulatory records

**DATES:** 1960-

**ARRANGEMENT:** Alphabetical by site name thereunder, chronological.

**ANNUAL ACCUMULATION:** 20.00 cubic feet.

**DESCRIPTION:**

These records support the agency's function to ensure hazardous waste is maintained and disposed of in compliance with existing state and federal laws (40 CFR 256-299, Utah Code 19-6-1(2013), and Utah Administrative Code R315 (2016)). Records document inspections and regulation of hazardous waste, and may include the Environmental Protection Agency identification information, site details, corrective action, risk assessment, inspection, enforcement, and permit records.

**RETENTION:**

Retain 20 years.

**DISPOSITION:**

Transfer to the State Archives with authority to weed.

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 10 years and then transfer to State Records Center. Retain in State Records Center for 10 years and then transfer to State Archives.

Computer data files: Retain in Office for 20 years and then transfer to State Archives.

Microfiche master: Retain in State Archives permanently with authority to weed.

Microfiche duplicate: Retain in State Archives permanently with authority to weed.

**APPRAISAL:**

Administrative Historical

Long-term administrative value is due to the agency's need to monitor the environment over decades. Records are also historical because the facilities in these records affect the environment over a long periods of time.

**AGENCY:** Department of Environmental Quality. Division of Waste Management and Radiation Control

**SERIES:** 12695

**TITLE:** Hazardous waste management regulatory records

(continued)

Final action is defined as the decision of certification. Retention period is based on the general audit requirements and administrative need of the agency.

**PRIMARY DESIGNATION:**

Public

**SECONDARY DESIGNATION(S):**

Protected. Utah Code 63G-2-305(1)(2015)

UTAH STATE ARCHIVES AND RECORDS SERVICE  
RETENTION SCHEDULE AND CLASSIFICATION REVIEW

AUGUST 12, 2016

AGENCIES SUBMITTING RECORD SERIES

AGENCY NUMBER OF  
RECORD SERIES

STATE AGENCIES

Administrative Services

Debt Collection Office. . . . . 1  
Facilities Construction. . . . . 1  
Risk Management Division. . . . . 5

Transportation Department

Transportation Civil Rights. . . . . 1

Environmental Quality

Waste Mgmt Radiation Control. . . . . 1

TOTAL RECORD SERIES SCHEDULED:	9	
TOTAL VOLUME:	0.00	CUBIC FEET
TOTAL ANNUAL ACCUMULATION:	30.90	CUBIC FEET

I have read the enclosed record series and concur with proposed retentions and dispositions, except for any noted substantive changes.

\_\_\_\_\_  
State Records Committee Member

\_\_\_\_\_  
Date