

## Retention and Classification Report

**Agency:** Utah. Division of Aging (2)

195 North 1950 West  
Salt Lake City, UT 84116  
801-538-3910

**Records Officer:** \_\_\_\_\_

10898	*Accessioned publications 1965-1977
01264	Administrative records
17231	*Adult day care complaint files
10708	*Advisory council meeting minutes
11784	*Aging and adult services case files
25628	Annual Governor's Centenarian Celebration records
17234	Annual program monitoring records
83851	Annual reports
19391	Chronological files
17486	*Client case files
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19080	*Contract files (AAA's)
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10154	Executive correspondence
25192	Financial information network (FINET) reports
01329	*Financial records
10578	*Fiscal review records
01307	Grant project files
10155	Information memorandums and program instruction records
17864	Investigation files
80269	*Model project files
83099	*Nursing home cardex file
17229	Ombudsman case files
83098	Ombudsman master complaint log
10247	*Personnel files for permanent employees
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06228	*Protective adult services case files
00127	Publications
10250	*Staff agenda and meeting minutes
10707	State board meeting records
17230	*Sub-state ombudsman case files

19009	*Time and attendance reports
80266	*Title XIX program files
22927	Training aids (Adult Protective Services)
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00166	*Work program reports

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 10898

3

**TITLE:** Accessioned publications 1965-1977

**DATES:** 1965-1977.

**ARRANGEMENT:** none

**TOTAL VOLUME:** 1.00 cubic foot.

**DESCRIPTION:**

Holdings: [1] Copy of the Older Americans Act of 1965 (Public Law 89-73); [2] Utah Plan for Implementing the Older Americans Act of 1965 (November 11, 1965); [3] Foster grandparent correspondence (1966-1967); [4] Monthly status reports, foster grandparent program (1967); [5] Foster grandparents and retarded children study (March 1967); [6] Personnel committee file (1969-70); [7] Model project plan of action for maintenance of independent Living (1972); [8] Memo dated February 20, 1975, urging all administrators of senior citizen programs to encourage senior citizens to attend the annual Governor's Conference on Aging on May 1, 1975, attached to a flyer announcing the conference; [9] annual work program for the Division of Aging (for fiscal year July 1, 1975, to June 30, 1976); [10] contract agreement (#78-8177) to enable the Division of Family Services to carry out social service educational programs authorized by the Older Americans Act from July 1, 1977, through December 31, 1977 (August 1977); and [11] a copy of the Planning Guide for the Assessment and Improvement of Services to the Senior Citizens (undated).

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**AUTHORIZED:** 10-30-2018

**FORMAT MANAGEMENT:**

Paper: Retain in State Archives permanently with authority to weed.

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

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

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 10898

**TITLE:** Accessioned publications 1965-1977

(continued)

**APPRAISAL:**

These records have administrative, and/or historical value(s).

These records serve to document the history of the agency through its services, activities and programs. Records may contain pamphlets, leaflets, manuals, and other published or processed documents created by the agency to inform the public of the agency's services and programs.

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 1264

3

**TITLE:** Administrative records

**DATES:** 1963-

**ARRANGEMENT:** Alphanumerical.

**DESCRIPTION:**

This series documents the history of research, programs, policies, procedures, leadership, and the assorted decision making processes of the agency.

**RETENTION:**

Permanent. Retain until administrative need ends

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**FORMAT MANAGEMENT:**

Paper: Retain in State Archives permanently with authority to weed.

**APPRAISAL:**

These records have administrative, and/or historical value(s).  
These records are created by the agency administration to document the history of: research, programs, policies, procedures, leadership, and decision making processes of the agency.

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 17231

3

**TITLE:** Adult day care complaint files

**DATES:** 1985-2004.

**ARRANGEMENT:** Alphabetical by client surname

**DESCRIPTION:**

These files document complaints filed by an adult receiving protective services in a day care facility. Cases are reopened if a complaint is filed more than once against the person or facility, or if the same person files a complaint. Investigations are handled by the Office of Community Operations. The Division of Aging keeps these records for administrative use only. This series includes a complaint filed by the victim, and the name of facility or place of residence (public, private, or relative).

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 12/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years or until administrative use ends and then destroy.

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Private

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 10708

3

**TITLE:** Advisory council meeting minutes

**DATES:** 1988-2005.

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

Records created by a committee, conference, or board, including advisory committee's 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.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Committee and conference files, GRS-2534.

**AUTHORIZED:** 06-01-1995

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 3 years and then transfer to State Archives with authority to weed.

**APPRAISAL:**

These records have administrative, and/or historical value(s). This disposition is based on the historical value to researchers interested in the actions and functions of Utah State government agencies.

**PRIMARY DESIGNATION:**

Public

**SECONDARY DESIGNATION(S):**

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

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 11784

3

**TITLE:** Aging and adult services case files

**DATES:** 1980-2004.

**ARRANGEMENT:** Alphabetical by client surname

**DESCRIPTION:**

These files document services provided to adults by the Division of Aging and Adult Services. Information includes applications, services provided, correspondence, case notes, and evaluations.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 04/2000

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year after case closes and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).

This retention is based on the administrative needs expressed by the agency for the purpose of conducting audits.

**PRIMARY DESIGNATION:**

Private

**SECONDARY DESIGNATION(S):**

Controlled. UCA 63-3-303 (2008)



**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 25628

3

**TITLE:** Annual Governor's Centenarian Celebration records

**DATES:** 1995-

**ARRANGEMENT:** Chronological by year.

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

This series contains records created or collected by the agency in putting on the Governor's Centenarian Celebration. The celebration is held annually to honor members of the Governor's Century Club of Utah, which is made up of Utah citizens who are 100 years old or older. Records in the series document centenarians in Utah as well as documenting the annual celebrations. Records include data pertaining to Utah's seniors aged 100 and over, guest lists, celebration invitations and agendas, newspaper articles, obituaries, and other related documents and information.

**RETENTION:**

Permanent. Retain for 10 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 12/2004

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 5 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then transfer to State Archives with authority to weed.

**APPRAISAL:**

These records have administrative, and/or historical value(s). This disposition is based on the historical value of the records as documentation of the annual Governor's Centenarian Celebration, as well as documenting Utah citizens who have lived to the age of 100.

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 25628

**TITLE:** Annual Governor's Centenarian Celebration records

(continued)

**PRIMARY DESIGNATION:**

Public

**SECONDARY DESIGNATION(S):**

Private

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 17234

3

**TITLE:** Annual program monitoring records

**DATES:** 1984-

**ARRANGEMENT:** Alphanumeric by district, thereunder chronological

**ANNUAL ACCUMULATION:** 2.00 cubic feet.

**DESCRIPTION:**

The division contracts with the Area Agencies on Aging (AAA) to provide programs and services for Utah's elderly, and is required to visit the agencies to ensure that they are in compliance with all division policies and federal guidelines (Utah Code 63A-3-104(9)(b)(2012)). These records document the annual review of area agencies' financial management and program instructions, and may include client surveys, case file reviews, review results, recommendations, followup, and all related correspondence.

**RETENTION:**

Retain for 5 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 11/2016

**FORMAT MANAGEMENT:**

Paper: For records prior to and including 2011. Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy.

Computer data files: Retain in Office for 5 years and then delete.

**APPRAISAL:**

These records have administrative value(s).

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 17234

**TITLE:** Annual program monitoring records

(continued)

**PRIMARY DESIGNATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 11/2016.

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 83851

3

**TITLE:** Annual reports

**DATES:** i 1961-

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

The Division of Aging and Adult Services' Annual Report outlines the agency's structure and function, concluding with reports on specific programs. The report serves as a general source of information on the division's projects and progress as well as suggestion for future improvements and developments.

**RETENTION:**

Permanent. Retain for 10 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Publications, GRS-1678.

**AUTHORIZED:** 10-30-2018

**FORMAT MANAGEMENT:**

Paper: Retain in State Archives permanently with authority to weed.

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

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

**APPRAISAL:**

These records have administrative, and/or historical value(s). This disposition is based on the secondary historical value to researchers interested in the functions of the Council on Aging and the needs expressed by the agency.

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 83851

**TITLE:** Annual reports

(continued)

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 19391

3

**TITLE:** Chronological files

**DATES:** 1990-

**ARRANGEMENT:** Chronological.

**DESCRIPTION:**

These files are generated by program and fiscal staff personnel in response to letters written to the Division of Aging and Adult Services. They are generated through the executive director's office.

**RETENTION:**

Permanent. Retain for 12 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule State agency executive correspondence, GRS-1758.

**AUTHORIZED:** 07-12-2018

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 11 years and then transfer to State Archives with authority to weed.

**APPRAISAL:**

These records have administrative value(s).

This disposition is based on Utah State General Records Retention Schedule, Schedule 1, Item 9.

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 17486

3

**TITLE:** Client case files

**DATES:** 1960-2004.

**ARRANGEMENT:** Alphabetical by client surname.

**DESCRIPTION:**

These files document complete case histories of clients receiving services provided in or through the Division of Aging and Adult Services. Information includes name, social security number, telephone number, and living conditions.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Client case files, GRS-2459.

**AUTHORIZED:** 05-29-2018

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year after case closes and then transfer to State Records Center. Retain in State Records Center for 9 years and then destroy provided no pending action or litigation.

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Private

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 09/2018.



**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 17233

3

**TITLE:** Client committee files

**DATES:** 1984-2004.

**ARRANGEMENT:** Alphabetical by committee name

**DESCRIPTION:**

These are client records handled by the Carousel and Screening Committees as a last resort effort in dealing with the client's problems in the most cost efficient manner. These client records are a duplicate record from a Community Operations Office. This series includes a brief history of the client's life in the state system, a nurses screening, related correspondence, discharge summary and evaluations, social history, copies of court petitions, detention center information, and any orders from the judge.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 12/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years after case is closed and then destroy.

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Private

**SECONDARY DESIGNATION(S):**

Controlled. UCA 63G-2-304 1992

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 19080

3

**TITLE:** Contract files (AAA's)

**DATES:** 1990-2016.

**ARRANGEMENT:** Alphabetical by contractor surname

**DESCRIPTION:**

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:**

Retain for 7 year(s) after expiration of contractual agreement

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Contract and lease records, GRS-1731.

**AUTHORIZED:** 07-30-2019

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year after contract termination or completion and then transfer to State Records Center. Retain in State Records Center for 6 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).

This disposition is based on the administrative needs expressed by the agency for the purpose of conducting audits.

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 19080

**TITLE:** Contract files (AAA's)

(continued)

**PRIMARY DESIGNATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 10/2016.

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 10249

3

**TITLE:** Daily activity schedules

**DATES:** 1989-2004.

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

Records regarding State employees who are not executives or exempt status containing substantive information relating to official activities, the substance of which has not been incorporated into official files. Includes calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of state employees. See also Executive Calendars or Routine Activity Calendars.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**AUTHORIZED:** 06-01-1995

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy.

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 10154

3

**TITLE:** Executive correspondence

**DATES:** 1980-

**ARRANGEMENT:** Chronological.

**ANNUAL ACCUMULATION:** 0.80 cubic feet.

**DESCRIPTION:**

Business-related correspondence which provide unique information about agency functions, policies, procedures, achievements, or programs. These records document material discussions and decisions and may originate on paper, electronic mail, or other media.

**RETENTION:**

Permanent. Retain for 5 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule State agency executive correspondence, GRS-1758.

**AUTHORIZED:** 07-12-2018

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 5 years and then transfer to State Archives with authority to weed.

**APPRAISAL:**

These records have administrative, and/or historical value(s).  
These records document executive decisions and policies.

**PRIMARY DESIGNATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 10/2018.

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 25192

3

**TITLE:** Financial information network (FINET) reports

**DATES:** ca. 1995-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 2.00 cubic feet.

**DESCRIPTION:**

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

**RETENTION:**

Retain for 7 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule State government accounts payable and receivable records, GRS-1854.

**AUTHORIZED:** 02-11-2019

**FORMAT MANAGEMENT:**

Paper: Retain in Office until fiscal year is ended and then transfer to State Records Center. Retain in State Records Center for 7 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 1329

3

**TITLE:** Financial records

**DATES:** 1967-1972.

**ARRANGEMENT:** Alphanumerical.

**DESCRIPTION:**

These records are accounts payable and reimbursables. These are also payroll records and budget recommendations.

**RETENTION:**

Retain for 7 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Budget records, GRS-1856.

**AUTHORIZED:** 12-17-2018

**FORMAT MANAGEMENT:**

Paper: Retain in State Records Center for 7 years and then destroy.

**APPRAISAL:**

These records have fiscal value(s).

**PRIMARY DESIGNATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 09/2018.

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 10578

3

**TITLE:** Fiscal review records

**DATES:** 1979-1985.

**ARRANGEMENT:** Alphabetical by agency name

**TOTAL VOLUME:** 1.50 cubic feet.

**DESCRIPTION:**

These records document fiscal reviews of Human Services programs by the federal government. These are quarterly reviews on financial and audit matters for state human services programs. These assessments include program recommendations for the Division of Aging, status of state plan objectives, amendments to approved three year plans, nutrition program information, advocacy plans, and service development programs. The federal government no longer conducts these reviews.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Budget records, GRS-1856.

**AUTHORIZED:** 12-17-2018

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 6 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).  
This disposition is based on the needs expressed by the agency and for the purpose of conducting audits.

**PRIMARY DESIGNATION:**

Public



**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 1307

3

**TITLE:** Grant project files

**DATES:** 1967-

**ARRANGEMENT:** Chronological by date, thereunder alphabetical by grant name.

**DESCRIPTION:**

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 retention requirements, please contact the State Archives to schedule a specific retention.

**RETENTION:**

Retain for 7 year(s) after expiration of contractual agreement

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Grant records, GRS-1859.

**AUTHORIZED:** 07-23-2018

**FORMAT MANAGEMENT:**

Paper: Retain in Office until final action and then transfer to State Records Center. Retain in State Records Center for 7 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 1307

**TITLE:** Grant project files

(continued)

**PRIMARY DESIGNATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 07/2017.

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 10155

1

**TITLE:** Information memorandums and program instruction records

**DATES:** 1983-

**ARRANGEMENT:** Chronological.

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

These files document instructions from the Federal Government to Human Services directors about new information concerning federal laws that affect Aging and Adult Services. They include information on changes in the Older American Act, new regulations and policy changes that require adoption and implementation by state agencies. This information is used by the staff and chief executive officers of the Department of Human Services, Division of Aging and Adult Services.

**RETENTION:**

Retain for 10 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is proposed and has not yet been approved.

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 9 years and then destroy.

**APPRAISAL:**

These records have administrative value(s).

This disposition is based on the needs expressed by the agency.

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 17864

3

**TITLE:** Investigation files

**DATES:** 1979-

**ARRANGEMENT:** Alphabetical by region, thereunder by client surname.

**DESCRIPTION:**

These files document Adult Protective Service investigations completed as a result of a referral alleging abuse, neglect or exploitation of a disabled or senior adult. Information includes birthdate, names, addresses, court documents, medical reports, guardianship orders, referrant names, perpetrator and victim information, and investigation results.

**RETENTION:**

Retain for 10 year(s) after case is closed

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 11/1996

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years after case closes and then transfer to State Records Center. Retain in State Records Center for 8 years and then destroy.

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Protected UCA 63G-2-305 (2008)

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 17864

**TITLE:** Investigation files

(continued)

**SECONDARY DESIGNATION(S):**

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

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 09/2018.

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 80269

3

**TITLE:** Model project files

**DATES:** 1984-2009.

**ARRANGEMENT:** Alphabetical by subject

**DESCRIPTION:**

This is a record of the model project files in relation to the Alternatives Program. This series includes the project name, sponsoring agency, amount of requested funding, Reviewers Recommendations, Respite Companion Activities List, Proposal to Provide Care, Model Project Reports, TAP model projects sited for awards, and related correspondence.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Working files, GRS-1684.

**AUTHORIZED:** 12-20-2018

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year after project closed and then destroy.

**APPRAISAL:**

These records have administrative value(s).

This disposition is based on the administrative needs expressed by the agency.

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 83099

3

**TITLE:** Nursing home cardex file

**DATES:** 1978-2009.

**ARRANGEMENT:** Alphabetical by facility name

**DESCRIPTION:**

This is an administrative record used by the Ombudsman agent to record complaint related information filed against a nursing home facility. This information is maintained on a floppy disk by the Ombudsman Administrator.

This series includes the facility name, date complaint was filed, complaint category code, type (valid, not valid), and date resolved.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 12/1988

**FORMAT MANAGEMENT:**

Computer data files: Retain in Office for 5 years or until facility closes and then delete.

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 17229

3

**TITLE:** Ombudsman case files

**DATES:** 1981-

**ARRANGEMENT:** Numerical by sequence number, thereunder chronological.

**ANNUAL ACCUMULATION:** 1.50 cubic feet.

**DESCRIPTION:**

This series is a record of reported abuse received and resolved which relate to elderly residents of long term care facilities in Utah. The Ombudsman has the authority to investigate a facility regarding practice, policy and procedure of any facility when they have reason to believe it affects, or may affect, the health, safety, and welfare, or the civil and human rights of any elderly resident.

This series includes Long Term Ombudsman Complaint Intake Form, Complaint Disposition Form, Findings and Recommendations, Complaint Contract Record/Case Log, related correspondence, file number, date filed, staff member receiving complaint, how the form was received (mail, person), relationship to resident/facility, name of agency/facility, administrator, source of payment (private, medicaid, etc.), nature of the complaint, category, Information Release Form, referral to another agency, verification of complaint, report of investigation, date and status of follow-up, brief description of complaint, findings of the investigation, and conclusions.

**RETENTION:**

Retain for 8 year(s) after case is closed

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 07/1989

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 5 years after date of closure and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy.



**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 17229

**TITLE:** Ombudsman case files

(continued)

**APPRAISAL:**

These records have administrative, fiscal, and/or legal value(s).

Retention of records is based on an agreement with the Department of Health. Outline of prohibited disclosures is listed in UC 62A-3-208. Violation of any of these provisions shall constitute a class B misdemeanor.

Previous decision: permanent.

**PRIMARY DESIGNATION:**

Private UC 62A-3-207. Section 307 of the Older Americans Act.

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 83098

3

**TITLE:** Ombudsman master complaint log

**DATES:** 1978-

**ARRANGEMENT:** alphabetical by facility, thereunder chronological

**DESCRIPTION:**

This is an administrative record used by the Ombudsman agent to locate a record, quick reference, compile statistical reports, and in the preparation of state and federal reports. This series includes coded information in regards to the file number, how complaint was received, relationship of accused, facility name, payment code, facility type, class, category, referral date, resolved, follow-up date, and date of closure.

**RETENTION:**

Retain permanently

**DISPOSITION:**

May Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 12/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office permanently.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).

**PRIMARY DESIGNATION:**

Public name of facility, complaints filed (yes/no response)

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 83098

**TITLE:** Ombudsman master complaint log

(continued)

**SECONDARY DESIGNATION(S):**

Controlled. charges and complaints, client information

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 10247

3

**TITLE:** Personnel files for permanent employees

**DATES:** 1975-2003.

**ARRANGEMENT:** Alphabetical by surname.

**DESCRIPTION:**

Complete work history of individual while employed by the State.

Refer to UCA 67-18-1, et seq. When an employee transfers to another state agency, the official personnel file must be sent to the new agency.

**RETENTION:**

Retain for 65 year(s) after separation

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Employment history records, GRS-1965.

**AUTHORIZED:** 08-29-2018

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 10 years after retirement or separation and then transfer to State Records Center. Retain in State Records Center for 55 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).

**PRIMARY DESIGNATION:**

Private

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 10247

**TITLE:** Personnel files for permanent employees

(continued)

**SECONDARY DESIGNATION(S):**

Public. Eighteen personal data elements identified by the State Records Committee

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 132

3

**TITLE:** Policy and procedures manuals

**DATES:** 1966-

**ARRANGEMENT:** Chronological.

**DESCRIPTION:**

The Policy and Procedures Manuals focus on the requirements and regulations of the agency.

**RETENTION:**

Permanent. Retain for 5 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Program and policy development records, GRS-1717.

**AUTHORIZED:** 02-26-2020

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 4 years and then transfer to State Archives with authority to weed.

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

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

**APPRAISAL:**

These records have administrative, and/or historical value(s).  
Disposition based on value of manuals in documenting Human Resources' policies and procedures for the agency and state government.

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 132

**TITLE:** Policy and procedures manuals

(continued)

**PRIMARY DESIGNATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 08/2019.

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 6228

1

**TITLE:** Protective adult services case files

**DATES:** 1980-2004.

**ARRANGEMENT:** Alphabetical by client surname.

**DESCRIPTION:**

These file document services to adults in need of protective assistance. The Division of Child and Family Services intervenes on the behalf of adults and places them in a protective environment. Information includes family history, assets, debts, employment information, medical and dental information, and victim information.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is proposed and has not yet been approved.

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year after case closes and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Private

**SECONDARY DESIGNATION(S):**

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



**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 127

3

**TITLE:** Publications

**DATES:** 1967-

**ARRANGEMENT:** Chronological.

**DESCRIPTION:**

This series contains reports of Division of Aging and Adult Services activities from the previous year with information pertaining to agency activities, agency staff, aging, adult services, planning, elderly, nursing homes, legislation, and fiscal and financial operations.

**RETENTION:**

Permanent. Retain until administrative need ends

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Publications, GRS-1678.

**AUTHORIZED:** 10-30-2018

**FORMAT MANAGEMENT:**

Paper: Retain in State Archives permanently with authority to weed.

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

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

**APPRAISAL:**

These records have administrative, and/or historical value(s).  
These records serve to document the history of the agency through its services, activities and programs. Records may contain pamphlets, leaflets, manuals, and other published or processed documents created by the agency to inform the public of the agency's services and programs.

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 127

**TITLE:** Publications

(continued)

**PRIMARY DESIGNATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 03/2015.

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 10250

1

**TITLE:** Staff agenda and meeting minutes

**DATES:** 1985-2004.

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

These files document minutes of staff meetings. They are created and compiled by the executive secretary and are used to implement staff assignments given by the Director. Also included are records of staff retreats including costs, locations, and planning materials.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is proposed and has not yet been approved.

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 9 years and then destroy.

**APPRAISAL:**

These records have administrative value(s).

This disposition is based on the needs expressed by the agency.

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 10707

3

**TITLE:** State board meeting records

**DATES:** 1961-

**ARRANGEMENT:** chronological

**DESCRIPTION:**

Records created by a committee, conference, or board, including advisory committee's 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.

**RETENTION:**

Permanent. Retain for 10 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Open meeting minutes & supplementary materials, GRS-1709.

**AUTHORIZED:** 10-28-2020

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 5 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then transfer to State Archives with authority to weed.

**APPRAISAL:**

These records have administrative, and/or historical value(s).  
This disposition is based on the historical value to researchers interested in the actions and functions of Utah State Governmental entities.

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 10707

**TITLE:** State board meeting records

(continued)

**PRIMARY DESIGNATION:**

Public

**SECONDARY DESIGNATION(S):**

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

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 17230

3

**TITLE:** Sub-state ombudsman case files

**DATES:** 1982-2009.

**ARRANGEMENT:** Alphabetical by district

**DESCRIPTION:**

This series is a record of reported abuse received and resolved which relate to elderly residents of long term care facilities in Utah. The Ombudsman has the authority to investigate a facility regarding the practice, policy and procedure when they have reason to believe it affects, or may affect the health, safety, and welfare, or the civil and human rights of any elderly resident.

This series includes a Long Term Care Ombudsman Complaint Intake Form, Complaint Disposition Form, Findings and Recommendations, Complaint Contact Record/Case Log, related correspondence, file number, staff member receiving complaint, how complaint was received (mail, person), relationship to resident/facility, name of agency/facility, administrator, source of payment (private, medicare), content of complaint, category, Information Release Form, referral to another agency, verification of complaint, report of investigation, date and status of follow-up, findings of the investigation, and conclusions.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 07/1989

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 5 years after date of closure and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy provided no litigation is pending.

**APPRAISAL:**

These records have administrative, fiscal, and/or legal value(s).

Retention of records is based on an agreement with the Department of Health. Outline of prohibited disclosures is listed in UC 62A-3-208. Violation of any of these provisions shall constitute a class B misdemeanor.

Previous decision: permanent.

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 17230

**TITLE:** Sub-state ombudsman case files

(continued)

**PRIMARY DESIGNATION:**

Private

UC 62A-3-208. Section 307 of the Older Americans Act.

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 19009

3

**TITLE:** Time and attendance reports

**DATES:** 1990-2009.

**ARRANGEMENT:** Alphabetical by surname, thereunder chronological

**DESCRIPTION:**

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 AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Timekeeping records, GRS-1902.

**AUTHORIZED:** 02-20-2019

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 2 years and then destroy.

Paper copy: Retain in Office for 1 year and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).

This disposition is based on the administrative needs expressed by the agency.

**PRIMARY DESIGNATION:**

Public



**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 80266

3

**TITLE:** Title XIX program files

**DATES:** 1973-2004.

**ARRANGEMENT:** Alphabetical by client surname.

**DESCRIPTION:**

These files document records of clients who have qualified for assistance under Title XIX guidelines. These programs include the Homemaker and Alternatives projects as well as other services offered through the Divisions of Adult and Aging Services and Family Services. Included are descriptions of functional problems, levels of care, case plans, living arrangements, reasons for providing services, notes and comments, medicaid and medicare numbers, emergency contacts, problems impacting selfcare, progress notes, client summaries, and nursing assessment forms.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Working files, GRS-1684.

**AUTHORIZED:** 12-20-2018

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years after date of closure and then transfer to State Records Center. Retain in State Records Center for 2 years and then destroy provided no litigation is pending or anticipated.

**APPRAISAL:**

These records have administrative, and/or historical value(s). Retention of these records is based on the same retention as DSS Client Case Files.

**PRIMARY DESIGNATION:**

Private

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 22927

3

**TITLE:** Training aids (Adult Protective Services)

**DATES:** 1998-

**ARRANGEMENT:** Alphabetical by subject

**ANNUAL ACCUMULATION:** 2.00 cubic feet.

**DESCRIPTION:**

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

**RETENTION:**

Permanent. Retain for 5 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule  
Mandated or significant training materials, GRS-1951.

**AUTHORIZED:** 03-26-2021

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 4 years and then transfer to State Archives with authority to weed.

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 10248

3

**TITLE:** Travel and transportation files

**DATES:** 1985-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 1.50 cubic feet.

**DESCRIPTION:**

Correspondence, forms, and related records pertaining to agency travel and transportation functions, not covered elsewhere in this schedule.

**RETENTION:**

Retain for 5 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**AUTHORIZED:** 01-11-2019

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy.

**APPRAISAL:**

These records have administrative value(s).

This disposition is based on

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Health and Human Services. Division of Aging and Adult Services

**SERIES:** 166

3

**TITLE:** Work program reports

**DATES:** 1976-2009.

**ARRANGEMENT:** Alphanumerical.

**DESCRIPTION:**

Records detailing an organization, which could include charts and 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:**

Permanent. Retain for 3 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Annual or official reports, GRS-3.

**AUTHORIZED:** 01-23-2019

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 3 years and then transfer to State Archives with authority to weed.

**APPRAISAL:**

These records have administrative, and/or historical value(s).  
This disposition is based on the secondary historical value to researchers interested in the history of aging services in Utah.

**PRIMARY DESIGNATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 08/2019.