

Retention and Classification Report

Agency: Department of Corrections (229)

14717 South Minuteman Drive
Draper, UT 84020
801-545-5525

Records Officer: _____

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AGENCY: Department of Corrections

SERIES: 29620

3

TITLE: Administrative rule records

DATES: 2016-

ARRANGEMENT: chronological

DESCRIPTION:

Information an agency relies upon when making a rule under Utah Code 63-45a-1 et seq. (2004), including copies of the proposed rule, change in the proposed rule, and the rule analysis

RETENTION:

Permanent. Retain until administrative need ends

DISPOSITION:

May Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Administrative rule records, GRS-1692.

AUTHORIZED: 07-07-2021

FORMAT MANAGEMENT:

APPRAISAL:

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

AGENCY: Department of Corrections

SERIES: 661

3

TITLE: Adverse action files

DATES: 1984-

ARRANGEMENT: Alphabetical by surname.

DESCRIPTION:

Case files and related records created in reviewing an adverse action (disciplinary or non-disciplinary removal, suspension, leave 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; appeal of records, excluding letters of reprimand.

RETENTION:

Retain for 3 year(s) after final action

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Grievance records, GRS-1967.

AUTHORIZED: 07-01-2015

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years after final action and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 11/2019.

AGENCY: Department of Corrections

SERIES: 4100

3

TITLE: Audit work papers

DATES: 1989-

ARRANGEMENT: None

DESCRIPTION:

These files document internal audits conducted by the Internal Audit Bureau. Files consist of memorandum, audit control files, audit working papers, drafts and final reports, follow-up papers, supporting documents, correspondence, staff notes, etc.

RETENTION:

Retain for 5 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Audit work papers, GRS-1728.

AUTHORIZED: 10-24-2019

FORMAT MANAGEMENT:

Paper: Retain in Office for 7 years and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Protected

AGENCY: Department of Corrections

SERIES: 808

TITLE: Biennial and annual reports

DATES: 1896-

ARRANGEMENT: Chronological by reporting period.

DESCRIPTION:

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

RETENTION:

Permanent. 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 and then microfilm.

Microfilm master: 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 historical value(s).

This series has permanent historical value as documentation of the basic functions and operation of the State Board of Corrections and the State Prison.

AGENCY: Department of Corrections

SERIES: 808

TITLE: Biennial and annual reports

(continued)

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 04/2017.

AGENCY: Department of Corrections

SERIES: 11107

3

TITLE: Budget projections and worksheets

DATES: 1989-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION: 2.00 cubic feet.

DESCRIPTION:

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:

Retain for 5 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 Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy.

PRIMARY DESIGNATION:

Public Including the 18 personal data elements identified by the State Records Committee

SECONDARY DESIGNATION(S):

Private. Schedule Six planning report (described in Schedule 10, Item 21)

AGENCY: Department of Corrections

SERIES: 25932

3

TITLE: Call watch recordings

DATES: ca. 1986-

ARRANGEMENT: Chronological by date and time, thereunder numerical by phone code number and inmate number

DESCRIPTION:

These are the recordings made of inmate telephone conversations. While the system has changed over time, the data remains similar. The call and reference metadata identifies the caller (inmate PIN), the recipient, the phone on which the call was placed and the time call made. These recordings contain nonspecific raw data. Information is only retrieved when a particular file is requested for some specific purpose. The type of request determines the records status. An example would be recordings downloaded and kept in an investigative file or downloaded as part of a discovery or access request process. The information is copied as needed. The specific information requested is downloaded and then becomes part of another record series (i.e., investigative files). The system has approximately one year of storage space. The six month retention provides the necessary flexibility as volume increases.

RETENTION:

Retain for 6 month(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 09/2005

FORMAT MANAGEMENT:

Sound recordings: Retain in Office for 6 months and then erase.

AGENCY: Department of Corrections

SERIES: 25932

TITLE: Call watch recordings

(continued)

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Protected UCA 63G-2-305(9), (10), and (12)

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-302(1)(d)

AGENCY: Department of Corrections

SERIES: 5634

3

TITLE: Captain and lieutenant testing files

DATES: 1987-

ARRANGEMENT: Alphabetical by officer's surname

DESCRIPTION:

Provides a record of the employee testing for promotion to the rank of captain or lieutenant. Contains the answer and score sheets.

RETENTION:

Retain for 65 year(s) or until separation

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Captain and lieutenant testing files, GRS-2334.

AUTHORIZED: 08-01-1999

FORMAT MANAGEMENT:

Paper: Retain in Office until made part of the candidate's personnel file and then transfer to Agency Record Center. Retain in Agency Record Center for 65 years after date of employment or until 3 year after death or retirement.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Private

AGENCY: Department of Corrections

SERIES: 13937

3

TITLE: Closed probation and parole files

DATES: 1980-

ARRANGEMENT: Alphabetical by name

ANNUAL ACCUMULATION: 0.10 cubic feet.

DESCRIPTION:

Documents the history of all offenders on probation or parole. Includes offender's name, history of charges, commitments, name of case worker, monthly reports to probation or parole officer, copies of court records, a history of probation or parole, incident reports, restitution data, correspondence and the probation or parole agreement.

RETENTION:

Retain for 10 year(s) after separation

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Probation or parole offender records, GRS-2385.

AUTHORIZED: 08-01-2004

FORMAT MANAGEMENT:

Paper: Retain in Office for 10 years after termination of jurisdiction and then destroy.

Microfilm master: Retain in Archives for 10 years after termination of jurisdiction and then destroy.

Microfilm duplicate: Retain in Archives for 10 years after termination of jurisdiction and then destroy.

APPRAISAL:

These records have administrative value(s).

AGENCY: Department of Corrections

SERIES: 13937

TITLE: Closed probation and parole files

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private.	Social Security Number, medical data
Protected.	Incident reports

AGENCY: Department of Corrections

SERIES: 6034

3

TITLE: Continuous recruitment reject files

DATES: 1984-

ARRANGEMENT: None

DESCRIPTION:

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:

Retain for 2 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Staff acquisition records, GRS-1964.

AUTHORIZED: 08-28-2018

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years after hiring decision is made and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Private

AGENCY: Department of Corrections

SERIES: 27410

3

TITLE: Contract files

DATES: 2000-

ARRANGEMENT: Chronological.

DESCRIPTION:

This series contains files used to monitor and track the approval process for awarding contracts and also to document a contractor's performance. Information includes proposal requests, proposals, contracts, amendments, correspondence, and review documents. These records document contractual agreements for products or services. Records may include preliminary requirements, contractor payroll records, bids, and the signed contract.

RETENTION:

Retain for 6 year(s)

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 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).
These records are used administratively to . They
also have fiscal value as they document .

AGENCY: Department of Corrections

SERIES: 27410

TITLE: Contract files

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Department of Corrections

SERIES: 25928

3

TITLE: Department offender document management system

DATES: 2005-

ARRANGEMENT: Numerical by offender number

DESCRIPTION:

This document management system is designed to provide consolidated document collection of offender data by the separate divisions within the Department. It also provides document storage, retrieval and access of information on a particular offender or topic. The system supplements the offender history and may be used to support non-offender related administrative functions as well.

RETENTION:

Retain for 7 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 09/2005

FORMAT MANAGEMENT:

Computer data files: Retain in Office for 7 years or until information is expunged by court order and then delete.

APPRAISAL:

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

PRIMARY DESIGNATION:

Protected uca 63G-2-305(9)(10) and (12) (2008)

AGENCY: Department of Corrections

SERIES: 25928

TITLE: Department offender document management system

(continued)

SECONDARY DESIGNATION(S):

Public.	Court records, Board of Pardon's rulings
Controlled.	programming records, diagnosis and evaluation records
Private.	UCA 63G-2-302(1)(d) (2008)

AGENCY: Department of Corrections

SERIES: 10937

3

TITLE: Disciplinary and grievance final orders case files

DATES: 1970-

ARRANGEMENT: Chronological, thereunder numerical by case number

ANNUAL ACCUMULATION: 0.20 cubic feet.

DESCRIPTION:

These records consist of orders issued by the executive director or a designee and is the final ruling regarding a member's disciplinary/grievance hearing. Also includes reports and recommendations generated by the Administrative Law Judge in relation to the member's hearing.

RETENTION:

Retain for 7 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 12/1997

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

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

APPRAISAL:

These records have administrative value(s).

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

AGENCY: Department of Corrections

SERIES: 10937

TITLE: Disciplinary and grievance final orders case files

(continued)

PRIMARY DESIGNATION:

Private UCA 63G-2-302 (2008) Personal and medical information

SECONDARY DESIGNATION(S):

Controlled. UCA 63G-2-304 (2008) psychiatric or psychological information

AGENCY: Department of Corrections

SERIES: 10941

1

TITLE: Disciplinary hearing audio tapes

DATES: 1992-

ARRANGEMENT: Alphabetical by name

ANNUAL ACCUMULATION: 0.10 cubic feet.

DESCRIPTION:

Provides an audio tape recording of an employee's disciplinary hearing. Paper transcripts of these tapes are retained for 5 years as Series 10940.

RETENTION:

Retain for 4 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

FORMAT MANAGEMENT:

Sound recordings: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 3 years and then erase.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Private

SECONDARY DESIGNATION(S):

Protected

AGENCY: Department of Corrections

SERIES: 9896

3

TITLE: Employment applications

DATES: 1989-

ARRANGEMENT: Numerical

DESCRIPTION:

Applications of those qualified persons who are listed on the register, but who are not hired.

RETENTION:

Retain for 2 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Staff acquisition records, GRS-1964.

AUTHORIZED: 08-28-2018

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then destroy.

APPRAISAL:

PRIMARY DESIGNATION:

Private UCA 63G-2-302 (1)(e) 1992

SECONDARY DESIGNATION(S):

Public. UCA 63G-2-301 1992

AGENCY: Department of Corrections

SERIES: 59911

3

TITLE: Executive correspondence

DATES: 1981-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION: 4.50 cubic feet.

DESCRIPTION:

Business-related correspondence provides unique information about agency functions, policies, procedures, or programs. 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:

Permanent. Retain for 7 year(s) after separation

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 after separated and then transfer to State Records Center. Retain in State Records Center for 6 years and then transfer to State Archives with authority to weed.

Computer data files: Retain in Office until separated and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s). These records have historical value in documenting the activities of the department director. This is particularly true since these records are from the period of the evolution from division to department.

AGENCY: Department of Corrections

SERIES: 59911

TITLE: Executive correspondence

(continued)

PRIMARY DESIGNATION:

Protected

AGENCY: Department of Corrections

SERIES: 59912

3

TITLE: Executive director's speeches

DATES: 1981-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These are the speeches given at various functions by the executive director in the director's official capacity.

RETENTION:

Permanent. Retain for 1 year(s) after separation

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Public presentations files, GRS-2004.

AUTHORIZED: 02-01-2006

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year after director separates from state service and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s).
These records have documentary evidential value to the agency because of the source of their origin.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Corrections

SERIES: 10866

3

TITLE: Fitness for duty case files

DATES: 1985-

ARRANGEMENT: Alphabetical by subject's surname

ANNUAL ACCUMULATION: 0.50 cubic feet.

DESCRIPTION:

These are psychological evaluations of employees of the Department of Corrections conducted by a professional provider. These files are read and utilized by the Division Director as the basis of personnel action by the Department for the benefit of the staff member and the department. They are segregated from personnel records pursuant to the Americans with Disabilities Act (ADA). They may include: reports of tests and evaluations.

RETENTION:

Retain for 30 year(s) after separation

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 10/1995

FORMAT MANAGEMENT:

Paper: Retain in Office until employee has terminated and then transfer to State Records Center. Retain in State Records Center for 30 years and then destroy.

APPRAISAL:

These records have administrative value(s).
This disposition is based on the administrative need of the agency.

AGENCY: Department of Corrections

SERIES: 10866

TITLE: Fitness for duty case files

(continued)

PRIMARY DESIGNATION:

Protected UCA 63G-2-305 (24) 1994

SECONDARY DESIGNATION(S):

Controlled. Psychological data, specified medical data.

AGENCY: Department of Corrections

SERIES: 10940

1

TITLE: Hearing transcripts

DATES: 1992-

ARRANGEMENT: Alphabetical by name

ANNUAL ACCUMULATION: 0.10 cubic feet.

DESCRIPTION:

Provides a record of the disciplinary hearing and the final decision and order issued by the executive director regarding an employee disciplinary hearing. Consists of the order, transcripts, recommendations, reports, etc.

RETENTION:

Retain for 4 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 3 years and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public

AGENCY: Department of Corrections

SERIES: 27189

3

TITLE: Inmate correspondence

DATES: 1994-

ARRANGEMENT: Alphabetical, thereunder chronological by date of letter.

DESCRIPTION:

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:

Retain for 3 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Local government routine administrative correspondence, GRS-1760.

AUTHORIZED: 07-12-2018

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years after response is received and then destroy.

APPRAISAL:

These records have administrative value(s).
retention based on administrative need

AGENCY: Department of Corrections

SERIES: 27189

TITLE: Inmate correspondence

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. Utah Code 63G-2-302 (2015)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 04/2015.

AGENCY: Department of Corrections

SERIES: 5016

1

TITLE: Interdepartmental transfers

DATES: 1989-

ARRANGEMENT: None

DESCRIPTION:

An accounting document that requests the transfer of funds between agencies for services rendered or materials purchased.

RETENTION:

Retain for 3 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 3 years and then destroy.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Corrections

SERIES: 31410

3

TITLE: Internal audit reports

DATES: 1948-

ARRANGEMENT: Chronological by year, thereunder numerical by project number

DESCRIPTION:

These records are the final internal audit reports created in accordance with Utah Code 63I-5, Utah Internal Audit Act. All division, bureau, operations, and operational information that is managed by the Utah Department of Corrections (UDC) Executive Director are subject to internal audit. Generally the audit reports may include criteria, condition, cause, and effect of risk areas identified in the operations under review. The final reports may include findings to identified risk areas and recommendations for corrective action or process improvement. Reports may contain sensitive safety and security information about operations, physical plants, and the inside of prisons, Community Correctional Centers, Adult Probation & Parole (AP&P) field offices, and contracted jails. Reports may also include offender information, and data analysis and financial records for UDC and supervised offenders. Privacy annotation: List of personal data included: offender information, financial information, and personal health information. Purpose personal data is collected, maintained, or used: in support of the internal auditing process and final reporting. Legal authority for collecting, keeping, or using personal data: Utah Code 63I-5-401 (2014).

RETENTION:

Permanent. Retain for 10 year(s)

DISPOSITION:

May Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Audit records, GRS-1727.

AUTHORIZED: 10-23-2019

FORMAT MANAGEMENT:

Computer data files: Retain in Office permanently.

AGENCY: Department of Corrections

SERIES: 31410

TITLE: Internal audit reports

(continued)

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 9 years and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, fiscal, historical, and/or legal value(s). These records provide evidence of the significant effects of government programs and actions on individuals, communities, and the natural and man-made environment. These records have legal value based on the usefulness to document and protect the rights and interests of an individual or organization, to demonstrate compliance with laws and regulations, or to meet other legal needs. Specifically, Utah Code Title 64, State Institutions, and Utah Code 63I-5, Utah Internal Audit Act.

PRIMARY DESIGNATION:

Private Utah Code 63G-2-302(1)(b) and (2)(d) (2026)

SECONDARY DESIGNATION(S):

Controlled. Utah Code 63G-2-304 (2008)
Exempt. Utah Code 63G-2-106 (2022)

AGENCY: Department of Corrections

SERIES: 28193

3

TITLE: Limited access clearance records

DATES: 2012-

ARRANGEMENT: By subject then in chronological order

DESCRIPTION:

This series contains records relating to limited access granted to individuals visiting the Draper and Gunnison correctional facilities. The records include the person's name, purpose of visit, agency they are from, date, time, and if a background check was run and by whom.

RETENTION:

Retain for 10 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 06/2013

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years after scanned and then destroy.

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

APPRAISAL:

These records have administrative value(s).

AGENCY: Department of Corrections

SERIES: 28193

TITLE: Limited access clearance records

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Department of Corrections

SERIES: 474

3

TITLE: Master pass list

DATES: 1989-

ARRANGEMENT: Chronological.

ANNUAL ACCUMULATION: 2.00 cubic feet.

DESCRIPTION:

This record is a daily list of inmates who are cleared to work outside of the secured perimeter of the prison or off prison property. The file includes work supervisor's name, hours inmate is cleared to be out, inmate name, USP# (Utah State Prison number which is the same as the inmate number), classification level, housing assignment, location where inmate is cleared to work, and date (inmate is only cleared for the day printed on the form).

RETENTION:

Retain for 2 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Master pass list, GRS-2384.

AUTHORIZED: 07-01-2000

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 10/2019.

AGENCY: Department of Corrections

SERIES: 493

3

TITLE: Offender tracking records

DATES: 1989-

ARRANGEMENT: Database.

DESCRIPTION:

These are permanent records kept in the Offender Tracking System maintained by the Utah Department of Corrections. The records may include static identification information, admittance, criminal offenses, assessments, incident/disciplinary, treatment plans, education and work records, supervision notes, locations, agents, case workers and family/associate information. The Offender Tracking System is designed to provide consolidated offender information collected by the separate divisions within the Department of Corrections and the Board of Pardons and Parole to facilitate offender management. The system also provides a communications network that supports the entry and access of information. In addition to facilitating offender management, the information is used in the publication of research reports, annual reports and other requested reports. The system also provides a history of an offender while under the supervision of the Department.

RETENTION:

Permanent. Retain until final action

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Offender tracking records, GRS-16585.

AUTHORIZED: 03-04-2022

FORMAT MANAGEMENT:

Computer data files: Retain in Office until administrative need ends and then transfer to State Archives with authority to weed.

AGENCY: Department of Corrections

SERIES: 493

TITLE: Offender tracking records

(continued)

APPRAISAL:

These records have administrative, and/or historical value(s).
These records are historical due to their importance in providing evidence of governmental programs and actions on incarcerated individuals.

PRIMARY DESIGNATION:

Public Utah Code 63G-2-201(2) (2025)

SECONDARY DESIGNATION(S):

Private. Utah Code 63G-2-302(1)(b) and (2)(d) (2026)
Controlled. Utah Code 63G-2-304 (2008)
Protected. Utah Code 63G-2-305(10)

AGENCY: Department of Corrections

SERIES: 5632

3

TITLE: Position change requests and authorizations

DATES: 1984-

ARRANGEMENT: Chronological, thereunder by assigned number.

DESCRIPTION:

Documents used to create new positions, abolish old ones and change existing state employee positions. Common name DHRM 9.

RETENTION:

Retain for 3 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Position analysis records, GRS-167.

AUTHORIZED: 07-02-2019

FORMAT MANAGEMENT:

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

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public

AGENCY: Department of Corrections

SERIES: 27878

1

TITLE: Pre-service academy class binders

DATES: 2012-

ARRANGEMENT: chronological thereunder numerical by academy class number

ANNUAL ACCUMULATION: 5.00 cubic feet.

DESCRIPTION:

These records document whether officers have met statutory training requirements. Records for each academy class include graduation photographs, participant names, class rolls, post rules, test scores, schedules, certifications, individual class photographs, graduation invitations, class rosters, commencement programs, and reconciliation memos.

RETENTION:

Retain for 75 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 3 months and then transfer to State Records Center. Retain in State Records Center for 75 years and then destroy.

Photographs: Retain in Office for 3 months and then transfer to State Records Center. Retain in State Records Center for 75 years and then destroy.

Computer data files: Retain in Office for 30 years after retirement or separation of employee and then delete.

APPRAISAL:

These records have administrative value(s).

Maintenance of training records is specified in Administrative Rule R728-500-4.

AGENCY: Department of Corrections

SERIES: 27878

TITLE: Pre-service academy class binders

(continued)

PRIMARY DESIGNATION:

Private

AGENCY: Department of Corrections

SERIES: 4028

3

TITLE: Preliminary time detail reports

DATES: 1989-

ARRANGEMENT: None

DESCRIPTION:

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:

Retain for 1 year(s) or until administrative need ends

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Preliminary payroll files, GRS-1889.

AUTHORIZED: 07-01-1990

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year or until administrative need ends and then destroy.

PRIMARY DESIGNATION:

Private

SECONDARY DESIGNATION(S):

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

AGENCY: Department of Corrections

SERIES: 21875

3

TITLE: Publications

DATES: 1950-

ARRANGEMENT: Chronological by date.

DESCRIPTION:

This series contains documents created by the agency, including pamphlets, reports, leaflets, file manuals, and other published or processed documents. These records include information on administration, legal matters, fiscal and financial operations, prisons, parole, probation, corrections, and all other activities of the Department of Corrections. This series consists primarily of isolated publications not part of a more specific series.

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 Records Center until microfilmed 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 historical value(s).

Disposition based on the value of these records in documenting agency achievements, policies, programs, and function.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 04/2017.

AGENCY: Department of Corrections

SERIES: 21873

3

TITLE: Quarterly progress reports

DATES: 1970-

ARRANGEMENT: Chronological by date.

DESCRIPTION:

The overall goal of the project reports is to increase knowledge relating to the prison system. The reports include research information obtained from the prisoners. Also included are recommendations for initiating, continuing or modifying present prison programs with the ultimate purpose of improving rehabilitation. The reports contain information pertaining to goals, projects completed or initiated, research data, and master theses based upon the research done with the prisoners. The fiche envelopes are stamped with "confidential data".

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 Records Center until microfilmed 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 historical, and/or legal value(s).

Records have value for background and research related to the prison system, research done involving prisoners, and programs and initiatives to improve programs with outcomes.

AGENCY: Department of Corrections

SERIES: 21873

TITLE: Quarterly progress reports

(continued)

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 04/2017.

AGENCY: Department of Corrections

SERIES: 5633

3

TITLE: Recruitment files

DATES: 1988-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION: 18.00 cubic feet.

DESCRIPTION:

Correspondence, letters, and telegrams, offering appointments to potential employees. These files contain offers that are declined. Those offers accepted will be maintained in the employee personnel file with a copy of their application in this file as well. These files contain the original applications of applicants who were qualified but not hired as well as a register of applicants and their ratings. The files also contain test questions and scores received by applicants.

RETENTION:

Retain for 2 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Staff acquisition records, GRS-1964.

AUTHORIZED: 08-28-2018

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year after hiring decision is made and then transfer to State Records Center. Retain in State Records Center for 1 year and then destroy.

APPRAISAL:

These records have administrative value(s).

This This disposition is based on the use of the records for defense in litigation against civil rights suits which have a 2 year statute of limitations under federal law as noted in UCA 78-12-28 (3) (1991).

AGENCY: Department of Corrections

SERIES: 5633

TITLE: Recruitment files

(continued)

PRIMARY DESIGNATION:

Private

AGENCY: Department of Corrections

SERIES: 22628

3

TITLE: Risk Management Records

DATES: 1974-

ARRANGEMENT: Alphabetical by employee surname

ANNUAL ACCUMULATION: 5.00 cubic feet.

DESCRIPTION:

Case files for Department of Corrections employee related Risk Management investigations. May include accident reports, statements from the employee, medical records, etc.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Risk management records, GRS-2345.

AUTHORIZED: 04-01-2000

FORMAT MANAGEMENT:

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

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Protected UCA 63G-2-305 (24)

SECONDARY DESIGNATION(S):

Private. Social Security Number, home address, home phone, medical data
Controlled. UCA 63G-2-305

AGENCY: Department of Corrections

SERIES: 26263

3

TITLE: Sex Offender Treatment Program records

DATES: 1990-

ARRANGEMENT: Alphabetical by surname

ANNUAL ACCUMULATION: 5.00 cubic feet.

DESCRIPTION:

These files document sex offender treatment records for sex offenders that have been incarcerated. They include class completion forms, treatment agreement, pre-treatment assessment, and treatment plan/contract, discharge summary, group treatment notes, status report, termination summary, psychosocial history, Division of Institutional Operations (DIO) evaluations and outside evaluations, assignments, psychological testing, plethysmograph (PPG) testing, pre-sentence investigations (PSI's), treatability assessment, correspondence and class certificates and other relevant information pertaining to the file. These records document the treatment and care of incarcerated sex offenders and facilitate program administration. Records in this series are created in order to comply with state and other regulatory requirements and to support the treatment and operational requirements of the sex offender treatment unit.

RETENTION:

Retain for 10 year(s) after separation

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 08/2006

FORMAT MANAGEMENT:

Paper: Retain in Office until termination of sentence and then transfer to State Records Center. Retain in State Records Center for 10 years and then destroy.

AGENCY: Department of Corrections

SERIES: 26263

TITLE: Sex Offender Treatment Program records

(continued)

APPRAISAL:

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

PRIMARY DESIGNATION:

Controlled UCA 63G-2-304 (2008)

SECONDARY DESIGNATION(S):

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

AGENCY: Department of Corrections

SERIES: 12287

1

TITLE: Telephone bills

DATES: 1990-

ARRANGEMENT: Chronological

DESCRIPTION:

An accounting document that requests the transfer of funds between agencies for services rendered or materials purchased.

RETENTION:

Retain for 3 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 3 years and then destroy.

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

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public

AGENCY: Department of Corrections

SERIES: 4026

3

TITLE: Time sheets

DATES: 1989-

ARRANGEMENT: None

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:

Retain for 3 year(s)

DISPOSITION:

Destroy.

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.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public

AGENCY: Department of Corrections

SERIES: 17184

3

TITLE: Transitory correspondence

DATES: 1984-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION: 2.00 cubic feet.

DESCRIPTION:

These are records of routine communications between this office and other offices inside and outside the department. The files include incoming letters, outgoing correspondence, and memos.

RETENTION:

Retain until administrative need ends

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Transitory correspondence, GRS-1759.

AUTHORIZED: 11-30-2018

FORMAT MANAGEMENT:

Paper: Retain in Office until administrative need and then destroy.

APPRAISAL:

These records have administrative value(s).
This disposition is based on administrative need as expressed by the agency.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Corrections

SERIES: 5008

1

TITLE: Warrant requests

DATES: 1989-

ARRANGEMENT: Numerical

ANNUAL ACCUMULATION: 30.00 cubic feet.

DESCRIPTION:

Requests from state agencies to the Division of Finance to pay vendors for supplies and/or services the vendors have provided to the agencies.

RETENTION:

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

APPRAISAL:

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

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

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