

Retention and Classification Report

Agency: Department of Corrections. Inspector General's Office (239)

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Records Officer: _____

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AGENCY: Department of Corrections. Inspector General's Office

SERIES: 12088

1

TITLE: Administrative correspondence

DATES: 1990-1990.

ARRANGEMENT: chronological

DESCRIPTION:

Records of a general nature which would be created in the course of administering agency programs. Information could include office organization, staffing, procedures, and internal communications. Includes electronic mail that communicates the above.

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 2 years and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2015.

AGENCY: Department of Corrections. Inspector General's Office

SERIES: 80157

1

TITLE: Audit work paper files

DATES: 1984-1990.

ARRANGEMENT: Chronological.

DESCRIPTION:

This files document internal audits conducted by 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 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 end of fiscal year and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Protected Utah Code 63G-2-305 (15) (2008)

SECONDARY DESIGNATION(S):

Public. Final audit report Utah Code 63G-2-301 (2)(q) (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2015.

AGENCY: Department of Corrections. Inspector General's Office

SERIES: 84269

3

TITLE: Background investigation files

DATES: 1977-1992.

ARRANGEMENT: Alphabetical by subject's surname

TOTAL VOLUME: 10.00 cubic feet.

DESCRIPTION:

These files document routine background investigations undertaken by the department on prospective employees, contractors, and so forth. Information includes personal data, references, and may contain a criminal history. A copy of the report is sent to the department's human resource office for their information. Nothing however is placed in a personnel file. This series was closed two years after the dissolution of the Inspector General's Office when it was decided to include background investigations as part of records series 13787 (Investigative case files).

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 06/1994

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.

APPRAISAL:

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

This disposition is based on the administrative need expressed by the department. Furthermore, this disposition meets the statute of limitations "for injury to the personal rights of another as a civil rights suit under 42 U.S.C. 1983.", which is 2 years as stated in UCA 78-12-28(3) (1993).

AGENCY: Department of Corrections. Inspector General's Office

SERIES: 84269

TITLE: Background investigation files

(continued)

PRIMARY DESIGNATION:

Protected UCA 63G-2-305 (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2015.

AGENCY: Department of Corrections. Inspector General's Office

SERIES: 80156

3

TITLE: Background work papers for contracts

DATES: 1982-1990.

ARRANGEMENT: Alphabetical by vendor.

DESCRIPTION:

These are records used to monitor and track the approval process for awarding of contracts and document the contract's performance. This series includes the request for proposal, the proposal, the contract, amendments, correspondence, and review documents.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Contract files, GRS-2216.

AUTHORIZED: 10-01-2000

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year after contract ends and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2015.

AGENCY: Department of Corrections. Inspector General's Office

SERIES: 84270

3

TITLE: Civil investigation case files

DATES: 1977-1990.

ARRANGEMENT: Alphanumerical by case file number

TOTAL VOLUME: 13.00 cubic feet.

DESCRIPTION:

These records document the investigation of wrong doing that does not involve criminal activities or policy violations, but that would deal with the violation of civil law, such as personal rights violations, or conspiracy, that still require investigation. These investigations can involve any individual who is involved with the department. These investigations, however, may evolve into criminal investigations. Information includes personal data, investigative information, and may include photographs and/or witness statements. This series was closed when the Inspector General's Office was dissolved. Civil investigations began after 1990 are now included in record series 13787 (Investigative case files).

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 06/1994

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years after case is closed and then transfer to State Records Center. Retain in State Records Center for 7 years and then destroy.

Photographs: Retain in Office for 3 years after case is closed 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 legal value(s). This disposition is based on the administrative need expressed by the department. Furthermore, this disposition meets the statute of limitations "for injury to the personal rights of another as a civil rights suit under 42 U.S.C. 1983.", which is 2 years as stated in UCA 78-12-28(3) (1993).

AGENCY: Department of Corrections. Inspector General's Office

SERIES: 84270

TITLE: Civil investigation case files

(continued)

PRIMARY DESIGNATION:

Protected UCA 63G-2-305 (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2015.

AGENCY: Department of Corrections. Inspector General's Office

SERIES: 6304

3

TITLE: Compliance investigation reports

DATES: 1989-1990.

ARRANGEMENT: Alphanumerical by file number

TOTAL VOLUME: 1.00 cubic foot.

DESCRIPTION:

These records are generated when the agency double-checks the work of the Department of Correction's internal auditors. Information may include reviews of financial and performance audits. These reviews were discontinued when the Inspector General's Office was dissolved.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 06/1994

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years 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). This disposition is based on audit requirements and on the administrative needs of the agency.

PRIMARY DESIGNATION:

Protected UCA 63G-2-305 (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2015.

AGENCY: Department of Corrections. Inspector General's Office

SERIES: 85003

3

TITLE: Diversion project records

DATES: 1981-1983.

ARRANGEMENT: Chronological.

TOTAL VOLUME: 3.00 cubic feet.

DESCRIPTION:

These records document the Prison Diversion Project sponsored by the Department of Corrections, Adult Probation and Parole. The Prison Diversion Project was a community-based treatment program which served as an alternative to incarceration. Individuals who qualified for the program were felony offenders who were facing incarceration and for whom available programs were lacking, were unacceptable for available programs or failed in past treatment plans. Various programs were developed including: sexual offender program; Native American program; long-term treatment/work release program; treatment for long-term substance abusers in a residential setting; twenty day-treatment slots dealing with educational/vocational deficits, mental health, emotional, alcohol and drug problems; an out-patient sexual offender treatment program; and incestuous offenders program. The records include project status reports, referral forms, project reports, statistical information, billing information, committee reports, recommendations, correspondence, proposals and other related documents.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 10/2000

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 transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s).
This disposition is based on research value of the records in documenting offender programs sponsored by the State of Utah.

AGENCY: Department of Corrections. Inspector General's Office

SERIES: 85003

TITLE: Diversion project records

(continued)

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 05/2015.

AGENCY: Department of Corrections. Inspector General's Office

SERIES: 85005

1

TITLE: Draft reports of agency audits

DATES: 1987-1990.

ARRANGEMENT: none

DESCRIPTION:

These reports are compiled by internal auditors on agencies within the Utah Department of Corrections. The final reports are drawn from these drafts.

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 5 years and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Protected UCA 63G-2-305 (15) (2008)

SECONDARY DESIGNATION(S):

Public. Final audit report UCA 63G-2-301 (2)(q) (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2015.

AGENCY: Department of Corrections. Inspector General's Office

SERIES: 85004

3

TITLE: Expired contracts

DATES: 1983-1987.

ARRANGEMENT: Numerical by contract number

TOTAL VOLUME: 1.00 cubic foot.

DESCRIPTION:

This series consisted of contracts from the Inspector General's Office. Beginning in 1990 the Inspector General's Office no longer exists within the Department of Corrections. The Office was replaced by the Investigations Division. Information includes contracts, requisitions, purchase orders, correspondence, etc.

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 2 years after final payment and then transfer to State Records Center. Retain in State Records Center for 4 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 02/2015.

AGENCY: Department of Corrections. Inspector General's Office

SERIES: 84271

3

TITLE: Inmate grievance investigation files

DATES: 1977-1990.

ARRANGEMENT: Alphanumerical by file number.

TOTAL VOLUME: 78.00 cubic feet.

DESCRIPTION:

These files serve as part of the grievance process. When an inmate files a grievance an investigation into the problem or complaint is initiated. These files contain the investigative information of the grievance process. This series was closed in 1990 with the dissolution of the Inspector General's office. Grievances are now kept in Inmate grievance files, records series 80254. Information includes personal data and may contain any other pertinent information depending upon the reason for the grievance issue. Investigations are now part of record series 137(Investigative case files) which are composed of investigative information on any individual and surrounding any incident involving the Department of Corrections.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 06/1994

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years after case is closed 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 legal value(s).

This disposition is based on the administrative need expressed by the department. Furthermore, this disposition meets the statute of limitations "for injury to the personal rights of another as a civil rights suit under 42 U.S.C. 1983.", which is 2 years as stated in UCA 78-12-28(3) (1993).

AGENCY: Department of Corrections. Inspector General's Office

SERIES: 84271

TITLE: Inmate grievance investigation files

(continued)

PRIMARY DESIGNATION:

Protected UCA 63G-2-305 (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 11/2015.

AGENCY: Department of Corrections. Inspector General's Office

SERIES: 5405

3

TITLE: Inspector General's Council files

DATES: 1989-2015.

ARRANGEMENT: Alphabetical by subject, thereunder chronological

DESCRIPTION:

Records created by a committee or conference, including advisory committees, relating to executive establishment, organization, membership, and policy. Includes agenda, meeting minutes, final reports, and related records documenting the accomplishments of official boards and committees. May include audio and video recordings if minutes are not taken.

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 Open meeting minutes & supplementary materials, GRS-1709.

AUTHORIZED: 10-28-2020

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 retention based on historical retention of minutes.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2015.

AGENCY: Department of Corrections. Inspector General's Office

SERIES: 4022

1

TITLE: Internal administrative correspondence

DATES: 1983-2015.

ARRANGEMENT: None

DESCRIPTION:

Internal or external correspondence regarding general program information duplicated elsewhere, which does not include policy decisions or directives, how the office is organized, how it functions, its pattern of action, procedures, or achievements. Includes electronic mail that communicates the above.

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.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2015.

AGENCY: Department of Corrections. Inspector General's Office

SERIES: 5378

3

TITLE: Personnel actions

DATES: 1989-1990.

ARRANGEMENT: Chronological

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 an employee. The file includes a copy of the proposed adverse action with supporting papers, statement of witnesses, employee's reply, hearing notices, reports, decisions, reversal of action and appeal of records, excluding letters of reprimand.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Adverse action files, GRS-2333.

AUTHORIZED: 08-01-1999

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years after action is finalized 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:

Private Utah Code 63G-2-302

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2015.

AGENCY: Department of Corrections. Inspector General's Office

SERIES: 4021

3

TITLE: Personnel files

DATES: 1983-1990.

ARRANGEMENT: Alphabetical

DESCRIPTION:

Complete work history for employees within the Department of Corrections. Information may include current performance evaluations, performance plans, position description, career mobility agreement, insurance benefits notification, job swap agreement, overtime agreement, application for employment, employee's social security card (copy), notice of personnel action, termination form, employment eligibility verification form, exit interview form, new employee orientation self-guide and retirement/deferred compensation plan notification. In addition files may contain completion of course certificates, letters of commendation, performance plans and evaluations and leave adjustment reports.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Personnel files, GRS-2343.

AUTHORIZED: 08-01-1999

FORMAT MANAGEMENT:

Paper: Retain in Office for 30 years after retirement or separation from employment and then destroy.

APPRAISAL:

These records have administrative, and/or legal value(s).
Utah Code requires these be kept 3 years after retirement

PRIMARY DESIGNATION:

Protected Utah Code 63G-2-305

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2015.

AGENCY: Department of Corrections. Inspector General's Office

SERIES: 6301

3

TITLE: Personnel investigation files

DATES: 1985-1990.

ARRANGEMENT: Alphanumerical by file number

TOTAL VOLUME: 30.00 cubic feet.

DESCRIPTION:

These records document the department investigation of allegations of misconduct by department personnel. The investigation usually revolves around possible policy violation. This series ended in 1990 with the dissolution of the Inspector General's Office. Information includes personal data, and may include photographs, any criminal history, and/or witness statements. Personnel investigations are now kept as part of record series 13787, Investigative case files, which includes every type of department investigation on any individual and are kept for 10 years.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 06/1994

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years after case is closed and then transfer to State Records Center. Retain in State Records Center for 7 years and then destroy.

Photographs: Retain in Office for 3 years after case is closed 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 legal value(s).

This disposition is based on the administrative need expressed by the department. Furthermore, this disposition meets the statute of limitations "for injury to the personal rights of another as a civil rights suit under 42 U.S.C. 1983.", which is 2 years as stated in UCA 78-12-28(3) (1993).

AGENCY: Department of Corrections. Inspector General's Office

SERIES: 6301

TITLE: Personnel investigation files

(continued)

PRIMARY DESIGNATION:

Protected UCA 63G-2-305 (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2015.