

Retention and Classification Report

Agency: Department of Human Services. Bureau of Internal Review & Audit (389)

195 North 1950 West
Salt Lake City, UT 84116
801-538-9895

Records Officer: _____

80252	Audit reports
25828	Fraud investigation reports
27250	*Institutional Review Board protocols for clinical trials
14341	*Personnel records
11592	*Provider's audit work papers
10479	Working papers

AGENCY: Department of Human Services. Bureau of Internal Review & Audit

SERIES: 80252

3

TITLE: Audit reports

DATES: 1974-

ARRANGEMENT: Chronological by order of issuance of report with the calendar year.

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

Reports of audits and reviews created as a result of interdepartment audits. They include an introduction, background, findings, conclusions, and recommendations of the program audits. The auditee may be a Department of Human Services(DHS) division, institution, office, region, bureau, or a contract provider of DHS or its divisions.

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 Audit records, GRS-1727.

AUTHORIZED: 10-23-2019

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 fiscal value(s).

This disposition is based on the administrative needs expressed by the agency for the purpose of conducting audits. Audit reports may be used during the next audit cycle to monitor compliance with internal control program recommendations. They document agency functions and have research value.

AGENCY: Department of Human Services. Bureau of Internal Review & Audit

SERIES: 80252

TITLE: Audit reports

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Department of Human Services. Bureau of Internal Review & Audit

SERIES: 25828

3

TITLE: Fraud investigation reports

DATES: 1993-

ARRANGEMENT: Chronological by order of issuance within the calendar year.

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

Reports prepared by internal or external auditors as part of fraud investigations, audits, and reviews of financial and managerial programs of the Department of Human Services. The records include auditors notes, drafts of reports, raw data, information about informants, witnesses, perpetrators, and victims.

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 Audit records, GRS-1727.

AUTHORIZED: 10-23-2019

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 value(s).

AGENCY: Department of Human Services. Bureau of Internal Review & Audit

SERIES: 25828

TITLE: Fraud investigation reports

(continued)

PRIMARY DESIGNATION:

Protected UCA 63G-2-305(9)(a)-(e); UCA 63G-2-305(16) (2008)

SECONDARY DESIGNATION(S):

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

Controlled. Contains medical, psychological, psychiatric data

AGENCY: Department of Human Services. Bureau of Internal Review & Audit

SERIES: 27250

3

TITLE: Institutional Review Board protocols for clinical trials

DATES: 2009-2015.

ARRANGEMENT: Chronological

DESCRIPTION:

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

RETENTION:

Retain for 2 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Internal committee records, GRS-1725.

AUTHORIZED: 12-01-2015

FORMAT MANAGEMENT:

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

APPRAISAL:

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

These records are kept in accordance with CFR 45 Public Welfare.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Human Services. Bureau of Internal Review & Audit

SERIES: 27250

TITLE: Institutional Review Board protocols for clinical trials

(continued)

SECONDARY DESIGNATION(S):

Protected. UCA 63G-2-305(1)and(4)

Controlled. UCA 63G-2-304

AGENCY: Department of Human Services. Bureau of Internal Review & Audit

SERIES: 14341

3

TITLE: Personnel records

DATES: 1970-2003.

ARRANGEMENT: Alphabetical by employee 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. File should include current information on performance evaluations, performance plans, position description, career mobility agreement, insurance benefits notification (ADNT-1), job swap agreement, and overtime agreement where applicable. Also contains application for employment, employees' social security card (copy), Notice of personnel action (DHRM 33), Human resource profile/events (DHRM 34), Termination form (DHRM 35), Employment eligibility verification form, Exit interview form, New employee orientation self-guide, and retirement/deferred compensation plan notification (ADNT-2). May contain documentation on employee withholding, completion of course certificates, conflict of interest letters, incentive award results, letters of commendation, leave records, health records, and leave adjustment reports.

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 5 years after retirement or separation and then transfer to State Records Center. Retain in State Records Center for 60 years and then destroy.

AGENCY: Department of Human Services. Bureau of Internal Review & Audit

SERIES: 14341

TITLE: Personnel records

(continued)

APPRAISAL:

These records have administrative value(s).

This retention follows the procedures devised by the department.

The Bureau of Personnel then follows the retention set in General Retention Schedule 1 Item 1.

PRIMARY DESIGNATION:

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

SECONDARY DESIGNATION(S):

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

AGENCY: Department of Human Services. Bureau of Internal Review & Audit

SERIES: 11592

3

TITLE: Provider's audit work papers

DATES: 1975-2015.

ARRANGEMENT: Alphabetical

DESCRIPTION:

These papers document final audit reports of providers contracted by the State of Utah. This information aids the Department of Human Services, Liability Management, in assessing and monitoring programs contracted with the State. Information includes reports, ledgers, expenditures, correspondence, financial statements of providers, and auditor's work papers.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 1 year and then destroy provided no pending litigation.

APPRAISAL:

These records have fiscal value(s).

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

PRIMARY DESIGNATION:

Protected

AGENCY: Department of Human Services. Bureau of Internal Review & Audit

SERIES: 10479

3

TITLE: Working papers

DATES: 1983-

ARRANGEMENT: Chronological by issuance of report in the calendar year.

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These records contain unique information in rough notes or drafts assembled or created and used to prepare or analyze other documents. The information adds proper understanding to the formulation and execution of policies, decisions, actions, or responsibilities.

RETENTION:

Retain for 1 year(s) after case is closed

DISPOSITION:

Destroy.

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 case closes 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 Human Services. Bureau of Internal Review & Audit

SERIES: 10479

TITLE: Working papers

(continued)

PRIMARY DESIGNATION:

Protected UCA 63G-2-305 (2008)

SECONDARY DESIGNATION(S):

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

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