

Retention and Classification Report

Agency: Department of Health and Human Services. Division of Services for People with Disabilities (469)
Services for People w Disabilities
195 North 1950 West
Salt Lake City, UT 84116
801-538-4200

Records Officer: _____

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24979	Civil litigation records
80131	Client assessment files
13954	Committee and conference files
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AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 11996

3

TITLE: Agency written history

DATES: 1969-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION: 10.00 cubic feet.

DESCRIPTION:

Scrapbooks, photographs, articles, program notes and documentation of events sponsored or funded by an agency. Also included are narrative audio or audiovisual agency histories.

RETENTION:

Permanent. Retain for 10 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

AUTHORIZED: 11-28-2018

FORMAT MANAGEMENT:

Paper: Retain in Office for 10 years and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s).
Scrapbooks, photographs, articles, program notes and documentation of events sponsored or funded by an agency.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 12020

3

TITLE: Board records

DATES: 1985-

ARRANGEMENT:

ANNUAL ACCUMULATION: 5.00 cubic feet.

DESCRIPTION:

Records created by a committee or conference, 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 3 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

AUTHORIZED: 10-28-2020

FORMAT MANAGEMENT:

Paper: Retain in Office until administrative need ends 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 value(s).

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 24979

3

TITLE: Civil litigation records

DATES: 1969-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These records document civil litigation cases involving the agency. Included are court documents, correspondence, copies of deposition testimony, case file copies, and attorney work product. May also include police reports, witness statements, photographs, contracts, reports, etc. Case file copies may contain vital statistics worksheets, admission information and date, request for prior approval, client background history, social summary, planning and grant information, face sheet, correspondence, and psychological and psychiatric evaluations. Information includes name of client, client social security number, client case number, case worker name, agency attorney name, legal issue, court case number, court date(s), and litigation outcome.

RETENTION:

Retain for 25 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: 06/2003

FORMAT MANAGEMENT:

Paper: Retain in Office until case is closed and then transfer to State Records Center. Retain in State Records Center for 25 years and then destroy.

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 24979

TITLE: Civil litigation records

(continued)

APPRAISAL:

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

PRIMARY DESIGNATION:

Private

SECONDARY DESIGNATION(S):

Protected

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 80131

3

TITLE: Client assessment files

DATES: 1985-

ARRANGEMENT: Alphabetical by client name

ANNUAL ACCUMULATION: 0.10 cubic feet.

DESCRIPTION:

Policy and procedures for the development of assessment plans and assessment advisory training counsels to meet the assessment and health plan certification needs for clients who are developmentally disabled. This series includes a Program Outline, policy and procedures, recertification schedule, a medicaid physicians list, Physical Exam Form, and a psychologist list.

RETENTION:

Retain for 25 year(s)

DISPOSITION:

Destroy.

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 for 1 year and then transfer to State Records Center. Retain in State Records Center for 24 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).
Retention is based on 42 CFR 431.17.

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 80131

TITLE: Client assessment files

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 13954

3

TITLE: Committee and conference files

DATES: 1985-

ARRANGEMENT: chronological

ANNUAL ACCUMULATION: 0.50 cubic feet.

DESCRIPTION:

These records document the Personal Care Assistance (PCA) program, which was established to provide personal assistance services to physically disabled adults who require the assistance of another person to accomplish personal care. PCA was also known as the Personal Assistance Service (PAS) program. Records relate to program establishment, organization, eligibility, administration, and policy. Included are meeting agenda and minutes, final reports, and related records documenting the accomplishments of the program surveys, correspondence, news releases, newsletters and publications, policies and procedures, interviews, ratings, applications, research materials, waivers, and budget records.

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 Program and policy development records, GRS-1717.

AUTHORIZED: 02-26-2020

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 transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s).
These records document the activities of an agency which is now defunct.

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 13954

TITLE: Committee and conference files

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 12021

3

TITLE: Emergency services management committee records

DATES: 1985-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION: 5.00 cubic feet.

DESCRIPTION:

Records created by a Director's appointed division level clinical review committee to evaluate and approve funding requests. These requests come from the emergency waiting list (ESMC) and request for additional services (RAS) list. Information includes agendas, meeting minutes, regional ESMC/RAS requests, supporting documentation, related records, and findings and recommendations of the committee.

RETENTION:

Retain for 3 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

FORMAT MANAGEMENT:

Paper: Retain in Office until administrative need ends 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).

Records used for administrative need to assess and improve programs.

PRIMARY DESIGNATION:

Controlled UCA 63G-2-304

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 12000

3

TITLE: Executive correspondence

DATES: 1975-

ARRANGEMENT: Alphabetical by subject

ANNUAL ACCUMULATION: 10.00 cubic feet.

DESCRIPTION:

Records not duplicated elsewhere that document how the office is organized and how it functions, its pattern of action, its policies, procedures and achievements.

RETENTION:

Permanent. Retain for 10 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

AUTHORIZED: 07-12-2018

FORMAT MANAGEMENT:

Paper: Retain in Office until administrative need ends and then transfer to State Records Center. Retain in State Records Center for 10 years and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s).
These records are business-related correspondence that provides unique information about agency functions, policies, procedures, or programs. The records document material discussions and decisions and may originate on paper, electronic mail, or other media.

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 12000

TITLE: Executive correspondence

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 12003

3

TITLE: Financial files

DATES: 1970-

ARRANGEMENT: Numerical by order number

ANNUAL ACCUMULATION: 5.00 cubic feet.

DESCRIPTION:

These records contain requisitions for supplies and equipment for current inventory. Included are warrants and denied claims from the Department of Health. Also includes records processed through the state accounting system that document the expenditure of cash and the appropriate supporting information. Includes payment invoices, purchasing records, and travel reimbursements. Some of these records were, until 2009, kept in series #23218. From 2009, all financial records for the division are kept together.

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 copy: 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 financial records are kept for audit purposes.

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 12003

TITLE: Financial files

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 30302

3

TITLE: Government Records Access and Management Act requests

DATES: 2012-

ARRANGEMENT: Chronological by date received.

DESCRIPTION:

These are Government Records Access and Management Act (GRAMA) requests from individuals seeking access to government records, as provided under Utah Code 63G-2, and access appeals to the designated Records Officer, Chief Administrative Officer, State Records Committee, and the District Court. Records may contain correspondence, copies of requests, research notes, court documents, and any other documentation concerning the request and appeal process.

RETENTION:

Retain for 2 year(s) after final action

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Records access requests and appeals, GRS-1711.

AUTHORIZED: 06-01-2014

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.

Computer data files: Retain in Office for 2 years after final action and then delete.

APPRAISAL:

These records have administrative value(s).

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 30302

TITLE: Government Records Access and Management Act requests

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private.

Utah Code 63G-2-302(2)(d) (2022)

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 12016

3

TITLE: Internal management committee records

DATES: 1985-

ARRANGEMENT: Alphabetical by subject

ANNUAL ACCUMULATION: 5.00 cubic feet.

DESCRIPTION:

Records created by a committee or conference, 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:

Retain for 2 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

AUTHORIZED: 12-01-2015

FORMAT MANAGEMENT:

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

APPRAISAL:

These records have administrative value(s).

These records have administrative value for assessment and change in programs.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 12043

3

TITLE: Periodic budget reports

DATES: 1980-

ARRANGEMENT: Alphabetical by subject

ANNUAL ACCUMULATION: 0.50 cubic feet.

DESCRIPTION:

Agency reports at the end of the fiscal year on the status of appropriation accounts and apportionment.

RETENTION:

Permanent. Retain for 7 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

AUTHORIZED: 12-03-2018

FORMAT MANAGEMENT:

Paper copy: Retain in Office for 1 year 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.

APPRAISAL:

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

This disposition is based on

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 27662

3

TITLE: Physical disabilities service files

DATES: 1985-

ARRANGEMENT: Alphabetical by surname, thereunder chronological and numerical

DESCRIPTION:

These records document personal assistance services for clients.

Records may include needs assessments, applications for the position of personal assistant or aide, log of services provided, and details of the program of assistance available to clients.

RETENTION:

Retain for 10 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Adult client case files, GRS-2527.

AUTHORIZED: 06-01-1995

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 value(s).

This disposition is based on the administrative need of the agency.

PRIMARY DESIGNATION:

Private

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 3610

3

TITLE: Provider fact finding results and investigative reports case files

DATES: i 1985-

ARRANGEMENT: Alphanumerical

DESCRIPTION:

These files document contract and quality monitoring and investigation reports of private providers of services to people with disabilities. Providers are under contract with the state. The reports are classified as "private" in order to inform the providers of complaints made against them so that corrections may be made or other action taken. Included are actions of providers or staff, living conditions, service provisions, training, competency and fiscal accountability. Also included may be names of brothers and sisters, checking and savings account, condition of living quarters, current and past address, date of purchase and consumption, income, job position information, marital status, medical information, name, next of kin, occupation, personality inventory, physical characteristics, physical disabilities, police record, psychiatric information, salary, security investigation, sex, tax information, victim information, training records, service plans and results.

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: 01/1986

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 3610

TITLE: Provider fact finding results and investigative reports case files

(continued)

APPRAISAL:

These records have administrative value(s).

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

PRIMARY DESIGNATION:

Private

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 80125

3

TITLE: Provider files

DATES: 1985-

ARRANGEMENT: Alphabetical by provider's name

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

This is a record kept on providers for the Division of Services for People with Disabilities. The records include: registration application and Affidavit of Standard Compliance, license, copies of contracts, contractor evaluations, qualifications of staff members, confidentiality agreement, provider Code of Conduct, insurance, Medicaid application, contract budget (if applicable), problem correction plan, fact finding reports and results, and related memos and correspondence.

RETENTION:

Retain for 5 year(s) after expiration of contractual agreement

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 12/1988

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year after contract has been cancelled or terminated and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

APPRAISAL:

These records have administrative, fiscal, and/or legal value(s). Retention is based on 42 CFR 431.17.

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 80125

TITLE: Provider files

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. name, address, and telephone number of the facility

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 11994

3

TITLE: Publications

DATES: 1970-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION: 10.00 cubic feet.

DESCRIPTION:

Documents created by the agency, including pamphlets, reports, leaflets, file manuals, newsletters, annual reports, other published or processed documents, and the last manuscript report, if not published, relating to management projects.

RETENTION:

Permanent. Retain for 6 month(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

AUTHORIZED: 10-30-2018

FORMAT MANAGEMENT:

Paper: Retain in Office for 6 months or until administrative need ends and then microfilm and 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 these diverse publications in documenting the achievements, policies, procedures and functions of the Division.

AGENCY: Department of Health and Human Services. Division of Services for People with Disabilities

SERIES: 11994

TITLE: Publications

(continued)

PRIMARY DESIGNATION:

Public