Retention and Classification Report

Agency: Department of Human Services. Office of Licensing (600)

Office of Licensing
195 North 1950 West
Salt Lake City, UT 84116
801-538-4242

Records Officer: _____

23918	Cancelled vendor payment vouchers
28959	Closed adoption-agency records
06829	Complaint case files
23922	Employee reimbursement files
19749	Foster care family licensing records
28958	Licensure records for active facilities
80412	Licensure records for closed facilities
24055	Policy and program correspondence
19746	Reviewed criminal background screening records

AGENCY: Department of Human Services. Office of Licensing

SERIES: 23918 3
TITLE: Cancelled vendor payment vouchers
DATES: 1987-
ARRANGEMENT: Chronologically
ANNUAL ACCUMULATION: 1.00 cubic foot.
DESCRIPTION:

Documentation used to input data about cancelled warrants. The information is used to ensure that funds are accurately credited to proper agency Financial Information Network accounts.

RETENTION:

Retain for 7 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

AUTHORIZED: 02-11-2019

FORMAT MANAGEMENT:

Paper: Retain in Office 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 fiscal value(s).

PRIMARY DESIGNATION:

Public

AGENCY: Department of Human Services. Office of Licensing

SERIES: 23918
TITLE: Cancelled vendor payment vouchers

(continued)

SECONDARY DESIGNATION(S):

Private

AGENCY: Department of Human Services. Office of Licensing

SERIES: 28959 3
TITLE: Closed adoption-agency records
DATES: 1975-
ARRANGEMENT: Alphabetical by parent organization.
DESCRIPTION:

Adoption agencies are required to provide for the maintenance of their records for 100 years, whether or not the adoption agency remains open or closes during that time (see Utah Administrative Code R501-7-11(5)). The Office of Licensing, which oversees licensing of child-placing adoption agencies, is legally authorized to "have access to all records, correspondence, and financial data required to be maintained by a licensee" (Utah Code 62A-2-106(1)(j) (2017)), so in the event that an adoption agency closes without a file maintenance plan, the Office may assume custody of the agency's records. Records include administrative and financial reports, phone bills, adoption and client records, training and education records, and related correspondence. Record copies of adoption records are held by the courts.

RETENTION:

Permanent. Retain for 100 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Adoption case files, GRS-2477.

AUTHORIZED: 08-01-1995

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 99 years and then transfer to State Archives with authority to weed.

AGENCY: Department of Human Services. Office of Licensing

SERIES: 28959
TITLE: Closed adoption-agency records

(continued)

APPRAISAL:

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

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private.	Utah Code 63G-2-302(1)(a,b) and (2)(d) (2020)
Protected.	Utah Code 63G-2-305(11) (2020)

AGENCY: Department of Human Services. Office of Licensing

SERIES: 6829 3
TITLE: Complaint case files
DATES: i 1985-
ARRANGEMENT: Alphabetical by program name
DESCRIPTION:

These files document complaints recieved from clients and members of the public about services rendered from licensed alcohol and drug abuse treatment facilities and investigated by local health authorities. These files include the name of the complainant, the name of the individual(s) being investigated, the program or facility that is the subject of the complaint, the results of the investigation, and the following personal identifiers: alcohol or drug addiction, brothers and sisters, civil/criminal court involvement, condition of living quarters, current and past addresses, employer, membership in groups, medical information, name, name of kin, occupation, physical characteristics, physical disabilities, police records, psychiatric information, sex, signature, telephone number.

RETENTION:

Retain for 7 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Complaint investigation files, GRS-1969.

AUTHORIZED: 05-01-2018

FORMAT MANAGEMENT:

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

APPRAISAL:

These records have administrative value(s).

This office handles complaints and forwards them for investigation and resolution. As the investigations files are kept by the local agencies, these files should not be needed for any subsequent legal action. These files are of use to the bureau to establish a potential pattern of problems in these facilities.

AGENCY: Department of Human Services. Office of Licensing

SERIES: 6829
TITLE: Complaint case files

(continued)

PRIMARY DESIGNATION:

Private

AGENCY: Department of Human Services. Office of Licensing

SERIES: 23922 1
TITLE: Employee reimbursement files
DATES: 1987-
ARRANGEMENT: Chronological
ANNUAL ACCUMULATION: 1.00 cubic foot.
DESCRIPTION:

Records relating to reimbursing individuals for mileage, educational assistance, bus passes, etc. through the payroll system. Record copies of forms and screen prints are included in the documentation.

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 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 Human Services. Office of Licensing

SERIES: 19749 3
TITLE: Foster care family licensing records
DATES: 1996-
ARRANGEMENT: Alphabetical by provider surname, thereunder, chronological by year
ANNUAL ACCUMULATION: 15.00 cubic feet.
DESCRIPTION:

The agency issues licenses to foster parents that provide substitute care for children, including specialized, structured, shelter, respite, kinship, and specific care, and adoption placement assistance. Records include home studies, family resources, training records, applications, complaints, variances, decisions, and related correspondence.

RETENTION:

Retain for 10 year(s) after case is closed

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 02/1998

FORMAT MANAGEMENT:

Paper: Retain in Office until case closes and then transfer to State Records Center. Retain in State Records Center for 10 years and then destroy.

APPRAISAL:

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

This disposition is based on the administrative needs expressed by the agency and the legal requirement for obtaining a license for the foster care program.

AGENCY: Department of Human Services. Office of Licensing

SERIES: 19749
TITLE: Foster care family licensing records

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private.	UC 63G-2-302(1)(a,b) and (2)(d).
Protected.	UC 63G-2-305(11)

AGENCY: Department of Human Services. Office of Licensing

SERIES: 28958 3
TITLE: Licensure records for active facilities
DATES: 1975-
ARRANGEMENT: Alphabetical by parent organization.
DESCRIPTION:

The agency licenses public and private institutions to provide defined services programs within statutory and regulatory guidelines (Utah Code 62A-2-102 (1998)). These records document the issuance of licensing certifications for Human Services Programs as defined in Utah Code 62A-2-101(23) (2019). Records include applications, licensing fees, investigations, inspections, violations, activity logs, variance, and supporting documents.

RETENTION:

Retain for 30 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 07/2021

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.

Computer data files: Retain in Office for 30 years and then delete.

APPRAISAL:

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

RETENTION JUSTIFICATION:

The 30-year retention allows the Office of Licensing a sufficient amount of time to take into account previous infractions, as needed, when renewing a license.

AGENCY: Department of Human Services. Office of Licensing

SERIES: 28958
TITLE: Licensure records for active facilities

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private.	Utah Code 63G-2-302(1)(b) and (2)(b,d) (2020)
Controlled.	Utah Code 63G-2-304 (2008)
Protected.	Utah Code 63G-2-305(17,18) (2020)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 07/2021.

AGENCY: Department of Human Services. Office of Licensing

SERIES: 80412 3
TITLE: Licensure records for closed facilities
DATES: 1975-
ARRANGEMENT: Alphabetical by parent organization.
ANNUAL ACCUMULATION: 20.00 cubic feet.
DESCRIPTION:

The agency licenses public and private institutions to provide defined human services programs within statutory and regulatory guidelines (Utah Code 62A-2-102(1998). These records document the issuance of licensing certifications for closed facilities that had provided services such as residential treatment and care, in/out patient and day treatments, secure care, child placing, and driving under the influence education. Records include applications and supporting documentation, as well as staffing documents, client and personnel files, client fees schedules, and related correspondence.

RETENTION:

Retain for 8 year(s) after final action

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 09/1988

FORMAT MANAGEMENT:

Paper: Retain in Office until until facility has closed and then transfer to State Records Center. Retain in State Records Center for 8 years and then destroy.

APPRAISAL:

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

Retention is based on Day Care Licensure Files, series number 16960. The eight year retention is given in case a child abuse action should be taken against the staff of the facility. UCA 76-10303(c).

AGENCY: Department of Human Services. Office of Licensing

SERIES: 80412
TITLE: Licensure records for closed facilities

(continued)

RETENTION JUSTIFICATION:

Precious retention is based on Day Care Licensure Files, series number 16960. The eight year retention is given in case a child abuse action should be taken against the staff of the facility. UCA 76-10303(c).

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private.	Utah Code 63G-2-302(1)(g)(2016)
Controlled.	Utah Code 63G-2-304(2008)
Protected.	Utah Code 63G-2-305(18,50)(2015)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 07/2021.

AGENCY: Department of Human Services. Office of Licensing

SERIES: 24055 3
TITLE: Policy and program correspondence
DATES: 1987-
ARRANGEMENT: Alphabetical by topic, thereunder chronological
ANNUAL ACCUMULATION: 0.50 cubic feet.
DESCRIPTION:

Correspondence relating to the administration and history of the Office of Licensing. The records are used in conducting the Office's business. Information references archives, audits, conferences, hearings, legislature, policy and procedures, rule making, surveys, and other administrative topics.

RETENTION:

Permanent. Retain for 7 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

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

AUTHORIZED: 07-12-2018

FORMAT MANAGEMENT:

Paper: Retain in Office for 5 years and then transfer to State Records Center. Retain in State Records Center for 2 years and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have historical value(s).

PRIMARY DESIGNATION:

Public

AGENCY: Department of Human Services. Office of Licensing

SERIES: 19746 3
TITLE: Reviewed criminal background screening records
DATES: 1990-
ARRANGEMENT: Alphabetical by applicant surname, thereunder chronological by year
ANNUAL ACCUMULATION: 2.00 cubic feet.
DESCRIPTION:

These are background screening applications to the Office of Licensing (see Utah Code 62A-2-120(1)(b)(2016)), submitted by "applicants" as defined in Utah Code 62A-2-120(1)(a)(2016), which are reviewed by the Office of Licensing in accordance with Utah Code 62A-2-120(6). Records include applications, consent and liability release information, fingerprints, rap sheets, and related records.

RETENTION:

Retain for 7 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: 02/1998

FORMAT MANAGEMENT:

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

APPRAISAL:

These records have administrative value(s).

AGENCY: Department of Human Services. Office of Licensing

SERIES: 19746
TITLE: Reviewed criminal background screening records

(continued)

PRIMARY DESIGNATION:

Protected Utah Code 63G-2-305(25)(2015)

SECONDARY DESIGNATION(S):

Private. Utah Code 63G-2-302(1)(a,i,v)(2016) Utah Code 63G-2-302(2)(b,d)(2016)