

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
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Records Officer: _____

23918	Cancelled vendor payment vouchers
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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

1

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:

Retain for 100 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 99 years and then destroy.

APPRAISAL:

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

AGENCY: Department of Human Services. Office of Licensing

SERIES: 28959

TITLE: Closed adoption-agency records

(continued)

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: 80443

3

TITLE: Complaint files

DATES: 1982-1992.

ARRANGEMENT: Alphabetical by provider's name.

DESCRIPTION:

These are complaints received from a client's parent or guardian, or by an employee at a facility. Complaints are usually against the the facility owner or supervisor, and not the facility itself. Complaints may be about program structure, care ratio, injuries, and alleged abuse. This list is not inclusive. An investigation or inspection will ensue as a result of the complaint. Action taken depends on the severity of and the amount of complaints to date. This series includes any complaints received, the action taken, and any related correspondence.

RETENTION:

Permanent. Retain for 7 year(s) after case is closed

DISPOSITION:

Transfer to Archives.

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 for 3 years after provider file is closed and then transfer to State Records Center. Retain in State Records Center for 4 years and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, and/or legal value(s). Retention is based on series 0682 and 06829, which are the Complaint Files for the Division of Alcoholism and Drugs. This series has a permanent retention. The series was transferred to the Office of Licensing, therefore the retention is still in effect. Licensing is reorganizing their system and procedures. Complaint files will be inclusive to all services provided, and

AGENCY: Department of Human Services. Office of Licensing

SERIES: 80443

TITLE: Complaint files

(continued)

to all providers.

PRIMARY DESIGNATION:

Private name of employees, name of facility, type of complaint

SECONDARY DESIGNATION(S):

Controlled. name of complainant

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 10/2017.

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: 11770

3

TITLE: Foster parent provider eligibility files

DATES: 1955-1997.

ARRANGEMENT: Alphabetical by client surname.

DESCRIPTION:

These files document eligibility requirements for foster parents. They are used by case workers for administrative purposes and to disburse payments made to those foster parents for their services. Information includes eligibility documents, reference letters, medical forms, Bureau of Criminal Identification cards, release forms, computer forms, training documentation, case worker's notes, contracts, home studies, and licenses.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Foster parent provider eligibility files, GRS-2485.

AUTHORIZED: 02-01-2016

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 4 years and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Private

SECONDARY DESIGNATION(S):

Controlled.	UCA 63G-2-304 (2008)
Public.	UCA 63G-2-103 (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 10/2017.

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 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: 23919

3

TITLE: Permanent employee personnel files

DATES: 1987-2003.

ARRANGEMENT: Alphabetical by employee last name.

DESCRIPTION:

Complete work history of individual while employed by the State.
Files include original employment application, performance evaluations, performance plans, insurance benefits information, etc.

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 2 years after retirement or separation of employee and then transfer to State Records Center.
Retain in State Records Center for 63 years and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

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

AGENCY: Department of Human Services. Office of Licensing

SERIES: 23919

TITLE: Permanent employee personnel files

(continued)

SECONDARY DESIGNATION(S):

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

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 03/2017.

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)