

Retention and Classification Report

Agency: Division of Human Resource Management (789)

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Records Officer: _____

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AGENCY: Division of Human Resource Management

SERIES: 81576

3

TITLE: Administrative rules working files

DATES: 1979-

ARRANGEMENT: Chronological by year, thereunder numerical by rule number.

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These are working papers, tracking documents, and analytic studies of policies used in the formulation of administrative rules for the Department of Human Resource Management. These records include correspondence from agencies and interest groups, information received from public hearings, public comments received in connection with public hearings, and draft copies used in the formulation and revising of administrative rules.

RETENTION:

Permanent. Retain for 20 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 10/2003

FORMAT MANAGEMENT:

Paper: Retain in Office for 20 years after effective date and then transfer to State Archives.

Computer data files: Retain in Office for 20 years after effective date and then transfer to State Archives.

APPRAISAL:

These records have administrative, and/or historical value(s).
The historical appraisal is based on the value of these records to researchers.

RETENTION JUSTIFICATION:

AGENCY: Division of Human Resource Management

SERIES: 81576

TITLE: Administrative rules working files

(continued)

The Department of Human Resource Management (DHRM) references these records for years and even decades after a rule has been finalized, in order to see the thought process and revision process that went into the rule creation/update. Therefore, DHRM has a need to retain these records for 20 years in-office instead of 7.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 03/2018.

AGENCY: Division of Human Resource Management

SERIES: 29871

3

TITLE: Audit reports

DATES: 2017-

ARRANGEMENT: Chronological by completion date.

DESCRIPTION:

These are reports produced as a result of internal or external audits regarding DHRM workflows and other work processes, programs, or operations. The audits may be compliance, performance, or other in nature.

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 10 years and then transfer to State Archives with authority to weed.

Computer data files: 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). These records provide evidence of business processes of the government.

AGENCY: Division of Human Resource Management

SERIES: 29871

TITLE: Audit reports

(continued)

PRIMARY DESIGNATION:

Public Utah Code 63G-2-301(3)(q) (2020)

SECONDARY DESIGNATION(S):

Protected. Utah Code 63G-2-305(10,16) (2020)

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 10/2020.

AGENCY: Division of Human Resource Management

SERIES: 29872

3

TITLE: Audit workpapers

DATES: 2017-

ARRANGEMENT: Chronological by completion date.

DESCRIPTION:

These records contain the audit tests and other means which provide evidence supporting the final audit report(s). They may include documents, analysis, data, correspondence, etc., which documents audit findings and conclusions.

RETENTION:

Retain for 10 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Audit work papers, GRS-1728.

AUTHORIZED: 10-24-2019

FORMAT MANAGEMENT:

Paper: Retain in Office for 10 years and then destroy.

Computer data files: Retain in Office for 10 years and then delete.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public Utah Code 63G-2-301(3)(q) (2020)

AGENCY: Division of Human Resource Management

SERIES: 29872

TITLE: Audit workpapers

(continued)

SECONDARY DESIGNATION(S):

Protected. Utah Code 63G-2-305(10,16) (2020)

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 10/2020.

AGENCY: Division of Human Resource Management

SERIES: 25647

3

TITLE: Certified Public Manager administrative records

DATES: 1988-

ARRANGEMENT: Alphabetical, thereunder chronological by date.

DESCRIPTION:

These records document administrative aspects of the Certified Public Manager (CPM) program, a nationally accredited program that is administered by DHRM in the state of Utah. The CPM program is designed to enhance the skills of state and local government managers. Records include instructor and course evaluations, examinations, scoring criteria, release agreements, and related administrative records.

RETENTION:

Retain for 6 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 04/2018

FORMAT MANAGEMENT:

Paper: Retain in Office for 6 years and then destroy.

Computer data files: Retain in Office for 6 years and then delete.

APPRAISAL:

These records have administrative value(s).

RETENTION JUSTIFICATION:

The Department is reaccredited every six years to administer the CPM program.

AGENCY: Division of Human Resource Management

SERIES: 25647

TITLE: Certified Public Manager administrative records

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. Utah Code 63G-2-302(1)(l), and (2)(d) (2020)

Protected. Utah Code 63G-2-305(5) (2020)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 10/2020.

AGENCY: Division of Human Resource Management

SERIES: 25646

3

TITLE: Certified Public Manager program historical records

DATES: 1989-

ARRANGEMENT: Alphabetical, thereunder by date.

DESCRIPTION:

These records document the history and evolution of the Certified Public Manager (CPM) program in Utah. Records include program history, graduation programs and planning notes, sponsor information, accreditation documentation, policies and procedures, and related records.

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 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 Archives with authority to weed.

Computer data files: Retain in Office permanently.

APPRAISAL:

These records have administrative, and/or historical value(s). These records show the decision-making process of the agency, and the state's involvement in a nationally-accredited program, the National Certified Public Manager Consortium (NCPMC).

AGENCY: Division of Human Resource Management

SERIES: 25646

TITLE: Certified Public Manager program historical records

(continued)

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 03/2018.

AGENCY: Division of Human Resource Management

SERIES: 25650

3

TITLE: Classification manuals

DATES: 1988-

ARRANGEMENT: Chronological on Department G drive under data/dhrmdocs/class/manual.

DESCRIPTION:

These records document the logic, standards, and procedures which are followed by Department employees in classifying jobs and positions, one of the Department's key functions. Records are created by the Department for field office staff use, and include manuals such as "Classification Manual and Business Practices," "Position Classification Grievance Processing Desk Manual," and related classification manuals.

RETENTION:

Permanent. Retain until superseded

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:

Computer data files: Retain in Office until superseded and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s).
These records have historical value as they document the logic, standards, and procedures which were followed in classifying jobs and positions, one of the Department's key functions.

AGENCY: Division of Human Resource Management

SERIES: 25650

TITLE: Classification manuals

(continued)

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 05/2018.

AGENCY: Division of Human Resource Management

SERIES: 81631

3

TITLE: Classification review requests

DATES: 1981-

ARRANGEMENT: Alphabetical by agency, thereunder chronological.

DESCRIPTION:

These Classification Review Request (CRR) records are used to create new positions, abolish old positions, or change existing state employment jobs or positions. They may include department/division name, effective date, justification statement, detail position record number, signature of Human Resource Analyst or Specialist, and any additional documentation that is provided such as organizational charts, performance plans, job descriptions/job analysis, position analysis, or other related records.

RETENTION:

Retain for 3 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Position analysis records, GRS-167.

AUTHORIZED: 07-02-2019

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years and then destroy.

Computer data files: Retain in Office for 3 years and then delete.

APPRAISAL:

These records have administrative value(s).

AGENCY: Division of Human Resource Management

SERIES: 81631

TITLE: Classification review requests

(continued)

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 05/2018.

AGENCY: Division of Human Resource Management

SERIES: 81580

3

TITLE: Classification studies

DATES: 1979-

ARRANGEMENT: None.

DESCRIPTION:

These studies are part of the Department's mandate to "prepare, maintain, and revise a position classification plan for each employee position..." (Utah Code 67-19-12(3) (2017)). The studies are used to appraise classification titles and specifications such as duties, educational requirements, and respective salary ranges. Final decisions are reflected in the job and position descriptions records.

RETENTION:

Retain for 5 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Feasibility studies, GRS-746.

AUTHORIZED: 01-02-2019

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years 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).

AGENCY: Division of Human Resource Management

SERIES: 81580

TITLE: Classification studies

(continued)

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 10/2020.

AGENCY: Division of Human Resource Management

SERIES: 4018

3

TITLE: Compensation and salary survey records

DATES: 1983-

ARRANGEMENT: Alphabetical by job class.

ANNUAL ACCUMULATION: 2.00 cubic feet.

DESCRIPTION:

These records are used to create an Annual Compensation Plan recommendation to the governor, as required in Utah Code 67-8-3(1) (2020). Records may include targeted funding requests submitted to the Department by agencies (for positions with high recruitment and retention difficulties), as well as the Department's recommendation for each request; salary survey reports and employer survey responses for both commercial surveys and Utah State custom surveys; job and benefits information, including the development and implementation of wage schedules; total compensation calculations; data analysis; working papers; and related records.

RETENTION:

Retain for 20 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 10/2003

FORMAT MANAGEMENT:

Paper: Retain in Office for 20 years and then destroy.

Computer data files: Retain in Office for 20 years and then delete.

APPRAISAL:

These records have administrative value(s).

AGENCY: Division of Human Resource Management

SERIES: 4018

TITLE: Compensation and salary survey records

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Protected. Utah Code 63G-2-305(2) (2020)

Protected

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 10/2020.

AGENCY: Division of Human Resource Management

SERIES: 25702

3

TITLE: Database security access requests

DATES: 1996-

ARRANGEMENT: Alphabetical by agency, thereunder by user name.

ANNUAL ACCUMULATION: 0.50 cubic feet.

DESCRIPTION:

These records document current and former security access requests for the Department's human resource management information systems, such as Human Resource Enterprise (HRE) and the historic Utah Job Match (UJM) databases. Old security requests are kept so that system administrators can view the history of the users' security access. This information is used to track changes in security access over time, report current permissions, audit access rights, and assist users in determining current and desired access.

RETENTION:

Retain until superseded

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Information governance records, GRS-1713.

AUTHORIZED: 02-19-2019

FORMAT MANAGEMENT:

Paper: Retain in Office until superseded and then destroy.

Computer data files: Retain in Office until superseded and then delete.

APPRAISAL:

These records have administrative value(s).

AGENCY: Division of Human Resource Management

SERIES: 25702

TITLE: Database security access requests

(continued)

PRIMARY DESIGNATION:

Protected Utah Code 63G-2-305(12) (2020)

SECONDARY DESIGNATION(S):

Public
Protected

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 10/2020.

AGENCY: Division of Human Resource Management

SERIES: 26643

3

TITLE: Employment eligibility verification (Form I-9)

DATES: 2007-

ARRANGEMENT: Alphabetical by name.

DESCRIPTION:

These records are used to ensure a new hire's eligibility to work in the United States. Records contain the form I-9--Employment Eligibility Verification Form--and related documentation required to comply with the United States Department of Homeland Security, United State Citizenship and Immigration Services, and Handbook for Employers, M-274.

Records may include copies of U.S. passport, permanent resident card, alien registration receipt card, unexpired foreign passport, unexpired employment authorization document, driver's license, government ID card, U.S. military card, draft record, social security card, birth certificate, and/or any other acceptable documents listed on the Form I-9.

The original I-9 form and related documentation are kept separate from the personnel file. Paper records for transferred employees are forwarded to the receiving agency's human resource office.

RETENTION:

Retain for 3 year(s) after date of hire or for 1 year(s) after separation, whichever is later

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Verification of employment eligibility, GRS-1970.

AUTHORIZED: 08-01-2016

FORMAT MANAGEMENT:

Paper: Retain in Office until 3 years after date of hire or until 1 year after separation, whichever is later, and then destroy.

Computer data files: Retain in Office until 3 years after date of hire or until 1 year after separation, whichever is later and then delete.

AGENCY: Division of Human Resource Management

SERIES: 26643

TITLE: Employment eligibility verification (Form I-9)

(continued)

APPRAISAL:

These records have administrative, and/or legal value(s).
The form I-9, employment eligibility verification, is required by employers to comply with the United States Department of Homeland Security, Citizen and Immigration Services. The regulations for this form are outlined in Handbook for Employers M-274.

PRIMARY DESIGNATION:

Exempt 8 CFR 103 and M-274 Homeland Security, Handbook for Employers

SECONDARY DESIGNATION(S):

Private. Utah Code 63G-2-302(1)(g) (2020)
Protected

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 08/2020.

AGENCY: Division of Human Resource Management

SERIES: 81573

3

TITLE: Executive correspondence

DATES: 1979-

ARRANGEMENT: Chronological.

DESCRIPTION:

These records are incoming and outgoing business-related correspondence, regardless of format or mode of transmission, that provides unique information relating to the functions, policies, procedures, or programs of the department. These records document executive decisions made regarding agency interests. Some examples are: records that document the agency's decision-making process, rule interpretations, and executive director rule exceptions. Executive decision-makers include internal administrators as identified by the executive office.

RETENTION:

Permanent. Retain for 5 year(s) after separation

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 1 year after separation 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.

Microfiche master: Retain in State Archives permanently with authority to weed.

Microfiche duplicate: Retain in State Archives permanently with authority to weed.

Computer data files: Retain in Office for 5 years after separation and then transfer to State Archives with authority to weed.

AGENCY: Division of Human Resource Management

SERIES: 81573

TITLE: Executive correspondence

(continued)

APPRAISAL:

These records have administrative, and/or historical value(s).
Disposition based on value of records in documenting
decision-making aspects of personnel management for state
government.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 01/2020.

AGENCY: Division of Human Resource Management

SERIES: 25133

3

TITLE: Government Records Access and Management Act requests

DATES: 1993-

ARRANGEMENT: Chronological by year, thereunder numerical by request number.

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These are records created in response to requests from individuals seeking access to government records, as provided under Utah Code 63G-2-204 (2019). Files contain the records request, copies of the records officer's response either granting or denying access to the records requested, and supporting documentation which may include copies of information provided in the request. Records may also include agency responses to requests for nonexistent records, responses to requesters who provide inadequate descriptions, and responses to requests which should be directed to another agency.

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 after final action 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: Division of Human Resource Management

SERIES: 25133

TITLE: Government Records Access and Management Act requests

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. Utah Code 63G-2-302(2)(d) (2020)

Protected

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 10/2020.

AGENCY: Division of Human Resource Management

SERIES: 27715

3

TITLE: Governor's Award for Excellence nomination and selection files

DATES: 2011-

ARRANGEMENT: Chronological.

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These records document part of the Governor's Awards for Excellence program, an annual award program which recognizes employee accomplishments from the preceding calendar year. Awardee nominations are submitted to the Department of Human Resource Management (DHRM) by executive directors of state agencies, along with a narrative of the awardee's specific performance, reasons why the awardee should be recognized, and any supporting documentation. Records include nomination and selection forms and related records. The actual award, program, and photographs of the event are maintained by the governor's office.

RETENTION:

Retain for 5 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Incentive awards program records, GRS-2444.

AUTHORIZED: 02-01-2006

FORMAT MANAGEMENT:

Paper: Retain in Office for 5 years and then destroy.

Computer data files: Retain in Office for 5 years and then delete.

APPRAISAL:

These records have administrative value(s).

AGENCY: Division of Human Resource Management

SERIES: 27715

TITLE: Governor's Award for Excellence nomination and selection files

(continued)

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 09/2017.

AGENCY: Division of Human Resource Management

SERIES: 25705

3

TITLE: Job and position descriptions

DATES: 1975-

ARRANGEMENT: Alphabetical by title, thereunder by job identification number.

ANNUAL ACCUMULATION: 0.50 cubic feet.

DESCRIPTION:

These records include active and ended job and position descriptions. Each job description includes a title, salary range, basic tasks, knowledge, skills and abilities, working conditions and physical requirements, education/licensure requirements, and any other necessary information regarding the job. Position descriptions include the detailed tasks performed as well as the knowledge, skills, abilities, and other requirements of a specific position.

RETENTION:

Retain for 20 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 04/2005

FORMAT MANAGEMENT:

Paper: Retain in Office for 20 years and then destroy.

Computer data files: Retain in Office for 20 years and then delete.

APPRAISAL:

These records have administrative value(s).

AGENCY: Division of Human Resource Management

SERIES: 25705

TITLE: Job and position descriptions

(continued)

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 10/2020.

AGENCY: Division of Human Resource Management

SERIES: 29867

3

TITLE: Official reports

DATES: 2017-

ARRANGEMENT: Chronological by year, thereunder alphabetical.

DESCRIPTION:

These are reports created by the department to summarize activities or results of a project or program. Reports are generally only for internal reporting.

RETENTION:

Permanent. Retain for 1 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Annual or official reports, GRS-3.

AUTHORIZED: 01-23-2019

FORMAT MANAGEMENT:

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

APPRAISAL:

These records have administrative, and/or historical value(s).
Reports document agency accomplishments and results of programs and projects.

PRIMARY DESIGNATION:

Public

AGENCY: Division of Human Resource Management

SERIES: 29867

TITLE: Official reports

(continued)

SECONDARY DESIGNATION(S):

Private. Utah Code 63G-2-302(2)(d) (2020)

Protected

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 10/2020.

AGENCY: Division of Human Resource Management

SERIES: 80616

3

TITLE: Personnel records

DATES: 1947-

ARRANGEMENT: Alphabetical by name.

DESCRIPTION:

The executive director of the Department of Human Resource Management has a mandate to "maintain central personnel records" (see Utah Code 67-19-6(1)(g) (2018)). Elements of the personnel record are specified in Administrative Rule R477-2-5 (2020): personally identifiable information; performance ratings; and actions which affect the employee's salary history, classification history, title and salary range, employment status, and other personal data. Personnel records also include training records, information about authorized positions, relevant correspondence, and other related records.

Records in this series may be paper, electronic, or other media formats.

This series incorporates records from Department field offices, including records of employees who began working for a state employer prior to the Department's consolidation in 2006. Complete work history of an individual (excluding medical/psychological information) while employed by the State. Refer to UCA 67-18-1 (1977), et seq. and DHRM rules on accessing, maintaining, and managing employee personnel files. The employee's personnel file shall be considered a supplement to the DHRM computerized file and shall be subject to the rules governing personnel files. When an employee transfers to another state agency, the employee's personnel file must be sent to the new agency. The file typically includes applications for employment, career mobility documents, Memorandums of Understanding (MOU's), conflict of interest records, employee signed overtime agreements, personnel actions, corrective action plans, notices of disciplinary action, new employee orientation form checklists, performance plans and evaluations, letters of appreciation/commendation, separation and leave without pay records, employee benefits notification forms for PEHP and URS; references, copies of transcripts, training certifications or preparations, copies of items recorded in the DHRM computerized file, leave and time records; copies of any documents affecting the employee's conduct, status or salary, etc.

AGENCY: Division of Human Resource Management

SERIES: 80616

TITLE: Personnel records

(continued)

RETENTION:

Retain for 65 year(s) after date of hire or for 3 year(s) after retirement or death

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 until date of hire and then transfer to State Records Center. Retain in State Records Center for 65 years and then destroy.

Paper: Retain in Office for 3 years after retirement or death and then destroy.

Computer data files: Retain in Office for 65 years after date of hire and then delete.

Microfilm master: Retain in State Records Center for 65 years and then destroy.

Microfilm duplicate: Retain in Office until administrative value has been met and then destroy.

APPRAISAL:

These records have administrative, and/or legal value(s).
These records contain the current work history of an individual (excluding medical/psychological information) while employed by the state and have legal value, as they document employment and/or eligibility for benefits as a result of such employment

AGENCY: Division of Human Resource Management

SERIES: 80616

TITLE: Personnel records

(continued)

for the employee or for the employee's heirs. See Utah Code 49-11-602 (2017)--participating employers are to retain records--and Utah Code 67-19-6(1)(g) (2018)--DHRM executive director to maintain central personnel records.

PRIMARY DESIGNATION:

Private Utah Code 63G-2-302(1)(a,g) and (2)(a,b,d) (2020); and 67-18-1(1977)

SECONDARY DESIGNATION(S):

Protected. Utah Code 63G-2-305(25) (2020)

Public. Utah Code 63G-2-301(2)(b) (2020)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2021.

AGENCY: Division of Human Resource Management

SERIES: 19312

3

TITLE: Position classification grievance files

DATES: 1993-

ARRANGEMENT: Alphabetical by agency, thereunder by date.

DESCRIPTION:

These records document the position classification grievance process described in Utah Code 67-19-31 (2008). After a career service position has been assigned to a new class specification, the employee may grieve the determination to the classification grievance panel. The panel then hears the grievance, reviews applicable records, and makes a recommendation to the executive director of the Department of Human Resource Management (DHRM). The executive director then makes a decision, which may be appealed by either party. Records may include grievance submissions, original analyst's recommendation, the panel's recommendation, the executive director's decision, and related records.

RETENTION:

Retain for 3 year(s) after case is closed

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Grievance records, GRS-1967.

AUTHORIZED: 07-01-2015

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years after case is closed and then destroy.

Sound recordings: Retain in Office for 1 year and then erase.

APPRAISAL:

These records have administrative value(s).

AGENCY: Division of Human Resource Management

SERIES: 19312

TITLE: Position classification grievance files

(continued)

PRIMARY DESIGNATION:

Private Utah Code 63G-2-302(1)(a,g) and (2)(a,d) (2020)

SECONDARY DESIGNATION(S):

Protected

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 10/2020.

AGENCY: Division of Human Resource Management

SERIES: 29868

3

TITLE: Program and policy development records

DATES: 1985-

ARRANGEMENT: Chronological.

DESCRIPTION:

These records document the development, establishment, dissemination, and updating of agency programs and policies.

RETENTION:

Permanent. Retain for 3 year(s) after final action

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 after final action and then transfer to State Archives with authority to weed.

Computer data files: Retain in Office for 3 years after final action and then transfer to State Archives with authority to weed.

APPRAISAL:

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

Records document development and execution of agency programs and policies.

AGENCY: Division of Human Resource Management

SERIES: 29868

TITLE: Program and policy development records

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Division of Human Resource Management

SERIES: 17418

3

TITLE: Proposed legislation files

DATES: 1993-

ARRANGEMENT: Chronological by date.

DESCRIPTION:

Records created by governmental agencies for the purpose of proposing legislation. They contain correspondence, memoranda, research information on proposed legislation, fiscal notes, summaries, estimated cost reports, impact statements, and other information documenting the proposed legislation.

RETENTION:

Permanent. Retain for 5 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Proposed legislation records, GRS-1690.

AUTHORIZED: 12-01-1992

FORMAT MANAGEMENT:

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

APPRAISAL:

These records have administrative, and/or historical value(s).
These records are historical because they provide evidence of significant policy formulation and business processes of the government.

AGENCY: Division of Human Resource Management

SERIES: 17418

TITLE: Proposed legislation files

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Protected. Utah Code 63G-2-305(19) (2020)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 10/2020.

AGENCY: Division of Human Resource Management

SERIES: 1013

3

TITLE: Publications

DATES: 1961-

ARRANGEMENT: Chronological by date.

DESCRIPTION:

These records are publications about department administration, legal matters, fiscal and financial operations, employment, personnel, job classification, salaries, affirmative action, sexual harassment, and all other activities and functions of the Department of Human Resource Management. These records are publications as defined by general retention schedule GRS-1678: Publications.

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 Publications, GRS-1678.

AUTHORIZED: 10-30-2018

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years and then 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 historical value(s).

The value of these records is in documenting agency/program achievements, programs, and function.

AGENCY: Division of Human Resource Management

SERIES: 1013

TITLE: Publications

(continued)

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 10/2020.

AGENCY: Division of Human Resource Management

SERIES: 25710

3

TITLE: Recruitment files

DATES: 1980-

ARRANGEMENT: Alphabetical by agency, thereunder by date.

DESCRIPTION:

These records support the agency's mandate to "design and administer the state recruitment and selection system" (Utah Code 67-19-6(1)(d) (2018)), as detailed by Utah Administrative Code R477-4: Filling Positions (2020).

Records include all materials used in the hiring process, such as job applications, resumes, candidate tests and evaluations, references, interview questions, certifications and licenses, position analyses, and related records.

RETENTION:

Retain for 2 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Staff acquisition records, GRS-1964.

AUTHORIZED: 08-28-2018

FORMAT MANAGEMENT:

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

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

APPRAISAL:

These records have administrative value(s).

AGENCY: Division of Human Resource Management

SERIES: 25710

TITLE: Recruitment files

(continued)

PRIMARY DESIGNATION:

Protected Utah Code 63G-2-305(51) (2020)

SECONDARY DESIGNATION(S):

Private. Utah Code 63G-2-302(1)(g) and (2)(d) (2020)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 10/2020.

AGENCY: Division of Human Resource Management

SERIES: 25713

3

TITLE: Training manuals and materials

DATES: 1988-

ARRANGEMENT: Alphabetical by course title.

DESCRIPTION:

These records contain manuals, course materials, and aids used in training conducted or sponsored by the Department. Records are used for reference and legal verification of the content covered in the training.

RETENTION:

Permanent. Retain until superseded

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Mandated or significant training materials, GRS-1951.

AUTHORIZED: 03-26-2021

FORMAT MANAGEMENT:

Paper: Retain in Office until superseded or obsolete and then transfer to State Archives with authority to weed.

Computer data files: Retain in Office until superseded or obsolete and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative value(s).

AGENCY: Division of Human Resource Management

SERIES: 25713

TITLE: Training manuals and materials

(continued)

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 11/2017.

AGENCY: Division of Human Resource Management

SERIES: 81647

3

TITLE: Training resource subject files

DATES: 1978-

ARRANGEMENT: Alphabetical by subject.

DESCRIPTION:

These are reference files used by the department to create training sessions for government agencies. They include reference materials from other agencies such as publications and conference papers, lesson outlines, and training objectives outlines.

RETENTION:

Retain for 1 year(s) after end of project or program

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 end of project or program and then destroy.

Computer data files: Retain in Office for 1 year after end of project or program and then delete.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 11/2017.

AGENCY: Division of Human Resource Management

SERIES: 29866

3

TITLE: Workers' compensation case files

DATES: 1985-

ARRANGEMENT: Alphabetical by employee surname.

DESCRIPTION:

These records document workplace injuries, whether or not a claim was made. Records include forms, first report of injury, reports, correspondence, and related medical and investigative records regarding on-the-job injuries, whether or not a claim for compensation was made.

RETENTION:

Retain for 75 year(s) after end of the calendar year that the records cover

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Worker's compensation case files, GRS-1938.

AUTHORIZED: 01-23-2019

FORMAT MANAGEMENT:

Paper: Retain in Office for 5 years after end of the calendar year that the records cover and then transfer to State Records Center. Retain in State Records Center for 70 years and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Private Utah Code 63G-2-302(1)(b),(2)(d) (2020)

AGENCY: Division of Human Resource Management

SERIES: 29866

TITLE: Workers' compensation case files

(continued)

SECONDARY DESIGNATION(S):

Protected. Utah Code 63G-2-305(38) (2020)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 10/2020.

AGENCY: Division of Human Resource Management

SERIES: 81649

3

TITLE: Workforce adjustment plans

DATES: 1982-

ARRANGEMENT: Alphabetical.

DESCRIPTION:

These are agencies' disclosures and reports on the steps taken to separate employees from State employment when the separation resulted from Reduction in Force (RIF) actions, as described in Utah Code 67-19-18(6) (2010). Records may include cost savings avenues, categories of work to be eliminated, lists of all affected employees with retention points, length of service and job proficiency scores for each employee involved, and reasons for reduction in force.

RETENTION:

Permanent. Retain for 4 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 08/1985

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 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.

Computer data files: Retain in Office for 4 years and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative value(s).

Records show the decision-making process for the Reduction In Force procedure, which is described in Utah Code 67-19-18(6) (2010) and Utah Administrative Code R477-12-3 (2020).

AGENCY: Division of Human Resource Management

SERIES: 81649

TITLE: Workforce adjustment plans

(continued)

PRIMARY DESIGNATION:

Protected Utah Code 63G-2-305(25) (2020)

SECONDARY DESIGNATION(S):

Protected

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 10/2020.

AGENCY: Division of Human Resource Management

SERIES: 25711

3

TITLE: Workplace discrimination and harassment investigation records

DATES: 1997-

ARRANGEMENT: Alphabetical by name.

ANNUAL ACCUMULATION: 0.50 cubic feet.

DESCRIPTION:

These are records associated with complaints and investigations concerning workplace discrimination and harassment, as defined in Administrative Code R477-15-1 (2020).

The Department of Human Resource Management participates in both Department-conducted investigations for complaints submitted to the Department, as well as investigations conducted by external agencies such as the Utah Anti-Discrimination and Labor Division (UALD), Department of Labor, or Equal Employment Opportunity Commission (EEOC). Records for both types of investigation are included in this series, as the latter records typically incorporate the former.

These records are primarily held in field offices, and are never put in an employee's personnel file. If an investigation leads to disciplinary action, the corrective action is noted in the personnel file, but the investigation records are kept separately.

Records may include the original complaint; correspondence; investigation plan; statements from the complainant, the alleged harasser, and third parties; interview notes; fact-finding information; recommendations; final outcomes; and related records.

RETENTION:

Retain for 5 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: 04/2005

AGENCY: Division of Human Resource Management

SERIES: 25711

TITLE: Workplace discrimination and harassment investigation records

(continued)

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year after case is closed and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

Computer data files: Retain in Office for 5 years after case is closed and then delete.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Protected Utah Code 63G-2-305(25) (2020); see Utah Administrative Code R477-15-5(c) (2020)

SECONDARY DESIGNATION(S):

Private. Utah Code 63G-2-302(2)(a) and (2)(d) (2020)
Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 10/2020.