

## Retention and Classification Report

**Agency:** Division of Risk Management (846)

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**Records Officer:** \_\_\_\_\_

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**AGENCY:** Division of Risk Management

**SERIES:** 27024

3

**TITLE:** Activity reports

**DATES:** 2008-

**ARRANGEMENT:** Chronological by date.

**DESCRIPTION:**

These records support the agency's administrative function to document the productivity of agency employees. Records contain various aggregate monthly activity and production reports regarding loss control and insurance claim cases.

**RETENTION:**

Retain for 1 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Employee and program productivity records, GRS-1698.

**AUTHORIZED:** 12-18-2018

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then destroy.

Computer data files: Retain in Office for 1 year and then delete.

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 08/2016.

**AGENCY:** Division of Risk Management

**SERIES:** 59930

**TITLE:** Certificates of insurance

**DATES:** 1981-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 0.50 cubic feet.

**DESCRIPTION:**

These records support the agency's function to provide insurance coverage for the following agencies and their employees: state agencies, higher education, school districts, and charter schools(Utah Code 63A-4-101(2)(a)(2006)). Certificates are created in response to requests for verification that entities are insured by the agency and include all related documentation identifying the type of coverage, its limits, and correspondence.

**RETENTION:**

Retain for 12 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 09/2016

**FORMAT MANAGEMENT:**

Paper: For records prior to and including 2013. Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 8 years and then destroy.

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

**APPRAISAL:**

These records have administrative value(s).

3

**AGENCY:** Division of Risk Management

**SERIES:** 59930

**TITLE:** Certificates of insurance

(continued)

**PRIMARY DESIGNATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 09/2016.

**AGENCY:** Division of Risk Management

**SERIES:** 59928

3

**TITLE:** Claims records

**DATES:** 1980-

**ARRANGEMENT:** Numerical by claim number.

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

These records support the agency's function to provide coverage for the following agencies and their employees: state agencies, higher education, school districts, and charter schools (Utah Code 63A-4-101(2)(a)(2006)). Records document the investigation and resolution of claims, and may contain personally identifiable information, psychiatric and medical histories, financial and investigative records, and authorizations for settlement.

**RETENTION:**

Retain for 30 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:** 09/2016

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years after case is closed 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 after case is closed and then delete.

**APPRAISAL:**

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

**RETENTION JUSTIFICATION:**

**AGENCY:** Division of Risk Management

**SERIES:** 59928

**TITLE:** Claims records

(continued)

Records retention is based upon the need for the records to be retained until any minors involved have reached the age of 18, plus a number of years to ensure that the statute of limitations have been met, as well as any possible opportunities for legal action.

**PRIMARY DESIGNATION:**

Protected Utah Code 63G-2-305(13, 18, 23, 24)(2015)

**SECONDARY DESIGNATION(S):**

Controlled. Utah Code 63G-2-304(2008)

Private. Utah Code 63G-2-302(1)(b)(2016)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 09/2016.

**AGENCY:** Division of Risk Management

**SERIES:** 30511

3

**TITLE:** Executive correspondence

**DATES:** 2016-

**ARRANGEMENT:** Chronological.

**DESCRIPTION:**

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 a state agency. These records document executive decisions made regarding agency interests. Executive decision makers may include the Director, Chief Administrative Officer, Public Information Officer or other 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:**

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

Paper: Retain in Office for 5 years after separation 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 based on their evidence of government deliberations, decisions, and actions relating to major social, economic, and environmental issues.

**AGENCY:** Division of Risk Management

**SERIES:** 30511

**TITLE:** Executive correspondence

(continued)

**PRIMARY DESIGNATION:**

Public



**AGENCY:** Division of Risk Management

**SERIES:** 59929

3

**TITLE:** Insurance policy contract records

**DATES:** i 1952-

**ARRANGEMENT:** Numerical by policy number

**ANNUAL ACCUMULATION:** 0.20 cubic feet.

**DESCRIPTION:**

These records support the agency's function to provide insurance coverage for the following agencies and their employees: state agencies, higher education, school districts, and charter schools (Utah Code 63A-4-101(2)(a)(2006)). Records contain insurance policy contracts entered into by the state of Utah. Records document the state's protection in the event that a claim is filed, and include coverage and premium payment information.

**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:** 09/2016

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 6 years after after superseded and then transfer to State Records Center. Retain in State Records Center for 19 years and then destroy.

Computer data files: Retain in Office for 25 years after after superseded and then delete.

**APPRAISAL:**

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

**RETENTION JUSTIFICATION:**

**AGENCY:** Division of Risk Management

**SERIES:** 59929

**TITLE:** Insurance policy contract records

(continued)

Records retention is based upon the need for the records to be retained until any minors involved in an incident have reached the age of 18, plus a number of years to ensure that the statute of limitations has been reached.

**PRIMARY DESIGNATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 09/2016.

**AGENCY:** Division of Risk Management

**SERIES:** 59933

3

**TITLE:** Loss control case records

**DATES:** 1986-

**ARRANGEMENT:** Alphabetical by agency.

**ANNUAL ACCUMULATION:** 5.00 cubic feet.

**DESCRIPTION:**

These records support the agency's function to protect the state's assets by documenting inspections, consultations, and other services performed by loss control personnel (Utah Code 63A-4-101(2)(c)(2006)). Records may include agency identifiers, inspection or consultation details, self-inspection surveys, and corrective recommendations.

**RETENTION:**

Retain for 10 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 09/2016

**FORMAT MANAGEMENT:**

Paper: For records prior to and including 2014. Retain in Office for 3 years after final action and then transfer to State Records Center. Retain in State Records Center for 7 years and then destroy.

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

**APPRAISAL:**

These records have administrative value(s).

**AGENCY:** Division of Risk Management

**SERIES:** 59933

**TITLE:** Loss control case records

(continued)

**PRIMARY DESIGNATION:**

Protected Utah Code 63G-2-305(10,11,12,18,24)(2019)

**SECONDARY DESIGNATION(S):**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 03/2020.

**AGENCY:** Division of Risk Management

**SERIES:** 59934

3

**TITLE:** Premium invoices

**DATES:** 1980-

**ARRANGEMENT:** Alphabetical by agency

**ANNUAL ACCUMULATION:** 0.70 cubic feet.

**DESCRIPTION:**

These records support the agency's function to provide insurance coverage for the following agencies and their employees: state agencies, higher education, school districts, and charter schools (Utah Code 63A-4-101(2)(a)(2006)). Records document premiums charged to agencies, and include the official premium notices and related records.

**RETENTION:**

Retain for 10 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 09/2016

**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, and/or fiscal value(s).

**RETENTION JUSTIFICATION:**

Retention is based on the administrative need of the agency to respond to legislative requests for past premium amounts.

**AGENCY:** Division of Risk Management

**SERIES:** 59934

**TITLE:** Premium invoices

(continued)

**PRIMARY DESIGNATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 09/2016.

**AGENCY:** Division of Risk Management

**SERIES:** 23301

3

**TITLE:** Publications

**DATES:** 1974-

**ARRANGEMENT:** Chronological.

**DESCRIPTION:**

These records document the agency's function to prevent and manage claims and communicate insurance coverage. Records include pamphlets, reports, leaflets, file manuals, and other published documents created by the agency for distribution.

**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 Publications, GRS-1678.

**AUTHORIZED:** 10-30-2018

**FORMAT MANAGEMENT:**

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

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

**APPRAISAL:**

These records have historical value(s).

Publications which document agency history and functions have ongoing research value.

**AGENCY:** Division of Risk Management

**SERIES:** 23301

**TITLE:** Publications

(continued)

**PRIMARY DESIGNATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 08/2016.



**AGENCY:** Division of Risk Management

**SERIES:** 28746

3

**TITLE:** Training program records

**DATES:** 1993-

**ARRANGEMENT:** Alphabetical by program name

**DESCRIPTION:**

These records support the agency's function to implement risk management and loss prevention programs for state agencies (Utah Code 63A-4-101(2)(c)(2006)). These records document training programs created to instruct Utah State Government employees in methods for reducing potential risks, accidents, or losses of state assets, property, as well as personnel. Records may include syllabi, manuals, textbooks, audio-visual presentations, and related materials.

**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 Mandated or significant training materials, GRS-1951.

**AUTHORIZED:** 03-26-2021

**FORMAT MANAGEMENT:**

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

Digital Versatile Disk - Read Only: For records prior to and including 2015. 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).  
These records document the training of state employees to assist in reducing potential risks or accidents, including sexual harassment trainings required to be taken annually.

**AGENCY:** Division of Risk Management

**SERIES:** 28746

**TITLE:** Training program records

(continued)

**PRIMARY DESIGNATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 08/2016.