

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

3

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).

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: 28792

1

TITLE: Claims files

DATES: 2016.

ARRANGEMENT:

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. Records document the investigation and settlement of covered claims, and may contain personally identifiable information, psychiatric and medical histories, financial and investigative records, and authorizations for settlement.

RETENTION:

Retain for 10 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 2 years after case is closed 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 after case is closed and then delete.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Protected

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

AGENCY: Division of Risk Management

SERIES: 28792

TITLE: Claims files

(continued)

SECONDARY DESIGNATION(S):

Controlled.	Utah Code 63G-2-304(2015)
Private.	Utah Code 63G-2-302(1)(b)(2015)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 08/2016.

AGENCY: Division of Risk Management

SERIES: 28793

1

TITLE: Claims files involving minors

DATES: 2016.

ARRANGEMENT:

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. Records document the investigation, and settlement of covered claims concerning individuals who were minors when the claim arose. These records contain personally identifiable information, psychiatric and medical histories, financial and investigative records, and authorizations for settlement.

RETENTION:

Retain for 30 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 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 value(s).

AGENCY: Division of Risk Management

SERIES: 28793

TITLE: Claims files involving minors

(continued)

PRIMARY DESIGNATION:

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

SECONDARY DESIGNATION(S):

Controlled. Utah Code 63G-2-304(2015)

Private. Utah Code 63G-2-302(1)(b)(2015)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 08/2016.

AGENCY: Division of Risk Management

SERIES: 28794

1

TITLE: Claims history catalog

DATES: 2015.

ARRANGEMENT:

DESCRIPTION:

These records support the agency's administrative function to report claims history upon legislative request or requests from other covered agencies. Records contain basic claim description and insured agency information, such as lines of coverage, cause codes, and general descriptions.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is proposed and has not yet been approved.

FORMAT MANAGEMENT:

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Protected.	Utah Code 63G-2-305(13, 18, 23, 24)(2015)
Controlled.	Utah Code 63G-2-304(2015)
Private.	Utah Code 63G-2-302(1)(b)(2015)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 08/2016.

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: 25995

3

TITLE: Division of Risk Management Miscellaneous financial records

DATES: 2000-2015.

ARRANGEMENT: Chronological by date

DESCRIPTION:

This series documents various financial records that the Department of Risk Management maintains. These records include travel reimbursements, interagency transfers, accounting reports, spread sheets and any supporting documentation accompanying these records.

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 administrative, and/or fiscal value(s).

PRIMARY DESIGNATION:

Public

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: 82832

3

TITLE: Property and casualty risk management claims files

DATES: 1980-2015.

ARRANGEMENT: Numerical by claim number

DESCRIPTION:

These case files are used to manage the reporting, investigation, and settlement of property and casualty claims filed against the state, colleges and universities, and school districts. These files include investigative notes regarding the incident, and the injury; conversations with affected parties; legal papers such as the notice of claims, summons and complaints, interrogatives, and depositions; financial records such as the record of payments, and authorizations for settlement. Personal identifying information includes: name, address, telephone number, date of birth, medical history, possible psychiatric history, property ownership, and number of dependents of claimant.

RETENTION:

Retain for 7 year(s) after resolution of issue

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 12/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years after closure and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

APPRAISAL:

These records have administrative, and/or legal value(s). Some of the legal records are duplicated in the Attorney General's Office, Litigation Division. Because of the investigative notes and the subjective comments that may be included, and the investigator's recommendations to settle, the agency is requesting a confidential classification. Total Claims Summary Reports, which are in system design phase now, will be

AGENCY: Division of Risk Management

SERIES: 82832

TITLE: Property and casualty risk management claims files

(continued)

public. The agency requests that information about an individual claim is confidential.

PRIMARY DESIGNATION:

Controlled

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 08/2016.

AGENCY: Division of Risk Management

SERIES: 59932

3

TITLE: Property loss report

DATES: 1981-2015.

ARRANGEMENT: Numerical by claims number

DESCRIPTION:

These records are statistical data used for forecasting future claims and used in premium negotiations. This series includes correspondence and copies of legal notices from the Attorney General's office.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 02/2006

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year after current year 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).

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 08/2016.

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: 24104

3

TITLE: Risk Watch newsletter

DATES: 1989-2015.

ARRANGEMENT: Chronological.

DESCRIPTION:

Risk Watch is a quarterly newsletter published by the Utah Office of Risk Management. Newsletter articles are aimed at managers within state government agencies. The newsletter provides information and training to help avoid disruptive loss occurrences. Topics include fire sprinkler monitoring, hearing loss, civil rights liability, employee screening, disaster recovery, and the like.

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 State Archives permanently 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: 24104

TITLE: Risk Watch newsletter

(continued)

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 08/2016.

AGENCY: Division of Risk Management

SERIES: 59931

1

TITLE: Survey information files

DATES: 1972-1990.

ARRANGEMENT: Alphabetical by agency

DESCRIPTION:

These are field work sheets that were used to conduct a physical survey of all physical/real property owned by the State of Utah.

This series includes pictures, specifications of property to include size and number of physical structures, a picture, and a dollar value.

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 2 years after current year and then transfer to State Records Center. Retain in State Records Center for 1 year and then destroy.

APPRAISAL:

These records have administrative value(s).
these records have no other value to state at this time and are no longer maintained.

PRIMARY DESIGNATION:

Public

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.

AGENCY: Division of Risk Management

SERIES: 25994

1

TITLE: Written claim checks

DATES: 2000-2015.

ARRANGEMENT: Chronological by date

DESCRIPTION:

This series documents claim checks written for Risk Management cases. Information includes copies of checks and any supporting documentation.

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 2 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-302 (1)(e) (2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 08/2016.