

Retention and Classification Report

Agency: Salt Lake City (Utah). Department of Public Utilities. Finance Division (1558)

1530 South West Temple
Salt Lake City, UT 84114-5528

Records Officer: _____

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AGENCY: Salt Lake City (Utah). Department of Public Utilities. Finance Division

SERIES: 8796

3

TITLE: Accounts receivable reports

DATES: 1960-2015.

ARRANGEMENT: Chronological

DESCRIPTION:

These microcomputer generated reports contain the number of accounts and water consumption amounts by user type. They are used for creating a history of water consumption. These reports include water and sewer services sold (by residential, commercial, special exchange areas, industrial, and city departments); a summary of charges; cash receipts; write offs; refunds by month; and total to date by year.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then microfilm and destroy provided microfilm has passed inspection.

Microfilm master: Retain in Office for 10 years and then destroy.

APPRAISAL:

The division believes these reports should be kept for ten years to provide a history of water consumption in Salt Lake City. This history is important to plan for future water demands.

AGENCY: Salt Lake City (Utah). Department of Public Utilities. Finance Division

SERIES: 8802

3

TITLE: Auditor's lead schedule and report work sheets

DATES: 1978-2015.

ARRANGEMENT: Chronological

DESCRIPTION:

These worksheets contain information on all adjustments made by independent auditors to both water and sewer funds and balances that relate to the annual financial statement reports. They are used as backup information for financial reports. These worksheets include balance sheets and income accounts for both water and sewer utility funds listing all adjustments; working papers and worksheets listing calculations of interest expense, capitalized interest, and amortization of bonding expenses.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

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

APPRAISAL:

These files are used by external auditors and need to be kept for the basic audit period of three years.

AGENCY: Salt Lake City (Utah). Department of Public Utilities. Finance Division

SERIES: 8804

3

TITLE: Automated accounting information

DATES: 1984-2015.

ARRANGEMENT: None

DESCRIPTION:

This automated system contains accounting and billing information on approximately 80,000 water and sewer accounts in Salt Lake City. It is used for billing purposes. This information is stored on hard disk and is backed up on floppy disk.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

Computer magnetic storage media: Retain in Office until changed and then erase.

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

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

AGENCY: Salt Lake City (Utah). Department of Public Utilities. Finance Division

SERIES: 8793

3

TITLE: Billing adjustment cards

DATES: 1980-2015.

ARRANGEMENT: numerical by pre-assigned number

DESCRIPTION:

These color-coded cards record adjustments made in billings for debit, credits, refunds, returned checks and abatements (write-off of customer accounts). They are used to provide detail information on all adjustments. These cards include customers name and address; type of adjustment and written justification and computation of amount charged; and signatures of customer service representative making transaction and the supervisor. May also contain back up financial information.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

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

APPRAISAL:

This retention is based upon the administrative needs expressed by the division for a three year audit period.

AGENCY: Salt Lake City (Utah). Department of Public Utilities. Finance Division

SERIES: 8791

3

TITLE: Billing registers

DATES: 1950-2015.

ARRANGEMENT: Chronological

DESCRIPTION:

These registers consist of an itemized list of water and sewer customer accounts. It is used for easy access to billing information. Since 1977, the register has been a computer printout. This register includes name of customer, service address, meter reading prior and current, water usage, water and sewer charges, payments, adjustments, prior balance due, and current balance due.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years after 2 months microfilm and then destroy originals after 2 1/2 years.

Microfilm master: Retain in Office for 10 years and then destroy.

APPRAISAL:

The department believes the general schedule retention is entirely inadequate for their administrative need. The department would like to retain for ten years for customer service problems and to resolve bankruptcies.

AGENCY: Salt Lake City (Utah). Department of Public Utilities. Finance Division

SERIES: 8801

3

TITLE: Billing report printouts

DATES: 1980-2015.

ARRANGEMENT: Chronological

DESCRIPTION:

These computer printouts list daily transactions of the billing system. They are used to maintain an audit trail of these transactions. These printouts include accounts deleted, accounts transferred, routes billed, adjustments posted, and computer balance reported.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

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

APPRAISAL:

This retention is based upon the basic audit period of three years.

AGENCY: Salt Lake City (Utah). Department of Public Utilities. Finance Division

SERIES: 8798

3

TITLE: Bond statement files

DATES: 1981-2015.

ARRANGEMENT: Numerical by bond issue

DESCRIPTION:

These files document the issuance of water and sewer revenue bonds. They are used as evidence of bonded indebtedness for the construction of water and sewer projects and for audit purposes. These files include correspondence, cash receipts, investment detail.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

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

APPRAISAL:

This retention is based upon the audit requirements and UCA 10-74-14(2c).

AGENCY: Salt Lake City (Utah). Department of Public Utilities. Finance Division

SERIES: 8800

3

TITLE: Construction in process ledger

DATES: 1977-2015.

ARRANGEMENT: Chronological

DESCRIPTION:

This ledger provides detailed financial listings of capital projects, such as construction of buildings, pumphouses, wells, culverts, flumes, reservoirs, conduits, and distribution lines. They are used to monitor water and sewer projects. This ledger includes project costs into categories such as material, labor, equipment, supervision, labor additives, engineering, paving, meals, and safety. Shows starting and completion date for each project constructed during the year.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then microfilm and destroy provided microfilm has passed inspection.

Microfilm master: Retain in Office for 10 years and then destroy.

APPRAISAL:

This retention period is based upon the administrative needs expressed by the bureau for budgetary purposes. A ten year period allows the division to establish a summary of costs for construction and to determine trends.

AGENCY: Salt Lake City (Utah). Department of Public Utilities. Finance Division

SERIES: 8803

3

TITLE: Consumer deposit cards

DATES: 1920-2015.

ARRANGEMENT: Numerical by deposit number

DESCRIPTION:

These cards provide a record of customers required to pay a deposit. All renters and customers with a history of delinquent payments are required by Salt Lake City Ordinance (49-6-64 thru 67) to pay a deposit before receiving water service. These cards include date, amount deposited, amount confiscated, customer's name and address, account number, date signed, and date closed out.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

Paper: Retain in Office until account is closed and then microfilm and destroy provided microfilm has passed inspection.

Microfilm master: Retain in Office permanently.

APPRAISAL:

This retention is based upon the administrative needs of the division. They used these cards constantly and believe a permanent retention is necessary to provide adequate service to their customers. Retention will be reviewed annually.

AGENCY: Salt Lake City (Utah). Department of Public Utilities. Finance Division

SERIES: 8797

3

TITLE: Environmental Protection Agency (EPA) grant files

DATES: 1960-2015.

ARRANGEMENT: Numerical by grant number in fiscal year

DESCRIPTION:

These are the city's official EPA grant files. The state of Utah receives the initial grant and then distributes monies to individual local government entities. The files document the expenditures of these funds. Includes: detailed listing of disbursements; receipts; grant modifications; correspondence; and a copy of original grant.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

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

APPRAISAL:

According to 40 CFR 30.501 grant files are only required to be maintained for three years. Since the state's grant files have been scheduled permanently (4/86) and include copies of these grants, the city's copies will only be kept for 3 years after final audit.

AGENCY: Salt Lake City (Utah). Department of Public Utilities. Finance Division

SERIES: 8799

3

TITLE: Flat rate water sales ledger

DATES: 1980-2015.

ARRANGEMENT: Alphanumerical by name in fiscal year

DESCRIPTION:

This ledger contains detailed customer records for unmetered water usage. A flat water rate is charged to customers who have their own monitor payments and adjustments records. This ledger includes charges, payments, correspondence, and contracts.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

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

APPRAISAL:

This retention is based upon the administrative needs expressed by the division.

AGENCY: Salt Lake City (Utah). Department of Public Utilities. Finance Division

SERIES: 8792

3

TITLE: Meter change work order forms

DATES: 1970-2015.

ARRANGEMENT: Numerical by work order number

DESCRIPTION:

These forms record changes in water meters (usually for faulty meters). They are used to record billing information for meters pulled and meters installed. These forms include meter change information; address; whether meter pulled out or installed; serial number; date; material and labor used; total cost of project and comments pertaining to project.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

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

APPRAISAL:

These work orders should be maintained for the basic audit period of three years.

AGENCY: Salt Lake City (Utah). Department of Public Utilities. Finance Division

SERIES: 8817

3

TITLE: Utility billing master file

DATES: 1974-2015.

ARRANGEMENT: None

DESCRIPTION:

This automated file contains all the basic information on customer accounts for both water and sewer billings within the Public Utilities' billing system. It is used for billing purposes and is backed up on tape daily (Tape 1), monthly (Tape 2), and yearly (Tape 3). This file includes customer name, service address, city or county, billing cycle, mailing address, type of account, and meter reading route. The information is stored on hard disk.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

Computer magnetic storage media: Retain in Office for 3 years after account becomes inactive and then transfer to magnetic tape and COM.

Computer magnetic storage media: Retain in Agency Record Center for 2 years and then erase.

Computer output microfiche master: Retain in Office for 10 years and then destroy.

Computer magnetic storage media: Retain in Agency Record Center for 2 weeks and then erase.

Computer magnetic storage media: Retain in Agency Record Center for 3 years and then erase.

Computer magnetic storage media: Retain in Agency Record Center for 3 years and then erase.

APPRAISAL:

This retention is based upon the administrative needs expressed by the division and the basic audit period of three years.

AGENCY: Salt Lake City (Utah). Department of Public Utilities. Finance Division

SERIES: 8817

TITLE: Utility billing master file

(continued)

AGENCY: Salt Lake City (Utah). Department of Public Utilities. Finance Division

SERIES: 8818

3

TITLE: Utility billing transaction

DATES: 1984-2015.

ARRANGEMENT: None

DESCRIPTION:

This automated file contains all the transaction oriented information for Public Utilities' billing system. It is used for audit and planning purposes. The information is backed up daily (tape 1), monthly (tape 2), and yearly (tape 3). This file includes billing history, payment history, and consumption history.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

Computer magnetic storage media: Retain in Agency Record Center for 3 years after being microfilmed and then put on Computer Output Microfilm and erase.

Computer output microfiche master: Retain in Office for 10 years and then destroy.

Computer magnetic storage media: Retain in Agency Record Center for 2 weeks and then erase.

Computer magnetic storage media: Retain in Agency Record Center for 3 years and then erase.

Computer magnetic storage media: Retain in Agency Record Center for 5 years and then erase.

APPRAISAL:

This retention is based upon the administrative needs expressed by the division. They believe the general retention period is entirely inadequate for their planning needs.

AGENCY: Salt Lake City (Utah). Department of Public Utilities. Finance Division

SERIES: 8795

3

TITLE: Water and sewer financial reports

DATES: 1960-2015.

ARRANGEMENT: Numerical by month in fiscal year

DESCRIPTION:

These reports contain water and sewer financial information and are compiled on a monthly, quarterly and yearly basis. They are used for comparison purposes. These reports include cash received by revenue and disbursement categories totals monthly and year to date with comparison to budget.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

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

APPRAISAL:

This retention is based upon the basic three year audit period needed by the division.

AGENCY: Salt Lake City (Utah). Department of Public Utilities. Finance Division

SERIES: 8794

3

TITLE: Water remittance stubs

DATES: 1981-2015.

ARRANGEMENT: Numerical by receipt number

DESCRIPTION:

These stubs are received with payments for water services. They are used as the official record of customers' payments being received and posted by the Public Utilities Department. These stubs include account name and number, service address, payment received, receipt date, and number.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

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

APPRAISAL:

The division accepts the previously approved general schedule retention for this record.