

## Retention and Classification Report

**Agency:** Department of Workforce Services. Internal Audit Division (2814)

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

28530	Audit engagement records
17238	*Management evaluation files
11683	*Personnel records
17237	*Waiver files
17248	*Waiver narratives and evaluations

**AGENCY:** Department of Workforce Services. Internal Audit Division

**SERIES:** 28530

3

**TITLE:** Audit engagement records

**DATES:** 1998-

**ARRANGEMENT:** Numerically by project number.

**DESCRIPTION:**

These records contain working papers related to the planning, field work, and reporting on audits by the department's Internal Audit Division. Audits are conducted regularly, or in response to allegations against specific employees, in order to verify that policies and procedures are effective and practiced. These records contain the audit results and evidence supporting the final report, and provide a link between the field work and the auditor's report. These records may include a variety of department information, depending on the type of audit performed, and may contain confidential customer, employee, or employer information.

**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:** 07/2014

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 4 years after completion of audit and then transfer to State Records Center. Retain in State Records Center for 6 years and then destroy.

Computer data files: Retain in Office until a minimum of 10 years and then delete.

**AGENCY:** Department of Workforce Services. Internal Audit Division

**SERIES:** 28530

**TITLE:** Audit engagement records

(continued)

**APPRAISAL:**

These records have administrative value(s).

**RETENTION JUSTIFICATION:**

The ten-year retention is modeled after series 9412, auditor's working papers.

**PRIMARY DESIGNATION:**

Public                      Utah Code 63G-2-201(2) (2019)

**SECONDARY DESIGNATION(S):**

Private.                      Utah Code 63G-2-302(1)(g) and (2)(d) (2019)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 04/2020.

**AGENCY:** Department of Workforce Services. Internal Audit Division

**SERIES:** 17238

3

**TITLE:** Management evaluation files

**DATES:** 1978-2012.

**ARRANGEMENT:** Numerical by district.

**DESCRIPTION:**

This file onsite of monitoring and assessing program operations in project areas. It is used to improve and strengthen operations by identifying and correcting deficiencies, and provides a flow of information between the project area and the State to develop solutions to problems in policy and procedures.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years after date of final report and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy provided no litigation is pending, all action completed.

**APPRAISAL:**

These records have administrative, fiscal, and/or legal value(s). Retention is based on 7 CFR 275.4.

**PRIMARY DESIGNATION:**

Private

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 05/2017.

**AGENCY:** Department of Workforce Services. Internal Audit Division

**SERIES:** 11683

3

**TITLE:** Personnel records

**DATES:** 1980-2012.

**ARRANGEMENT:** Alphabetical by employee surname

**DESCRIPTION:**

Complete work history of individual while employed by the State. Refer to UCA 67-18-1, et seq. and DHRM standards on accessing, maintaining, and managing employee personnel files. When an employee transfers to another state agency, the official personnel file must be sent to the new agency. The file should include current information on performance evaluations, performance plans, position description, career mobility agreement, insurance benefits notification (ADNT-1), job swap agreement, and overtime agreement where applicable. Also contains application for employment, employees' social security card (copy), Notice of personnel action (DHRM 33), Human resource profile/events (DHRM 34), Termination form (DHRM 35), Employment eligibility verification form, Exit interview form, New employee orientation self-guide, and retirement/deferred compensation plan notification (ADNT-2). May contain documentation on employee withholding, completion of course certificates, conflict of interest letters, incentive award results, letters of commendation, leave records, health records, and leave adjustment reports.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Employment history records, GRS-1965.

**AUTHORIZED:** 08-29-2018

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year after separation or retirement and then transfer to State Records Center. Retain in State Records Center for 64 years and then destroy.

**APPRAISAL:**

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

**AGENCY:** Department of Workforce Services. Internal Audit Division

**SERIES:** 11683

**TITLE:** Personnel records

(continued)

**PRIMARY DESIGNATION:**

Private

**SECONDARY DESIGNATION(S):**

Public. UCA 63G-2-301 (1) (b) (2008)

**AGENCY:** Department of Workforce Services. Internal Audit Division

**SERIES:** 17237

3

**TITLE:** Waiver files

**DATES:** 1981-2012.

**ARRANGEMENT:** Alphabetical by wavier.

**DESCRIPTION:**

This series is a collection of working papers from all federal, administrative, and client files. This information is appraised, evaluated, and compiled to write a wavier to support the agency's reason for forgiveness against a federally imposed sanction of noncompliance. Reasons for noncompliance range from economic development to natural disasters.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years after wavier has been approved or until all action is completed and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy.

**APPRAISAL:**

These records have administrative, fiscal, historical, and/or legal value(s). Retention is based on the Title XIX requirements.

**PRIMARY DESIGNATION:**

Private

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 05/2016.

**AGENCY:** Department of Workforce Services. Internal Audit Division

**SERIES:** 17248

3

**TITLE:** Waiver narratives and evaluations

**DATES:** 1981-2012.

**ARRANGEMENT:** Alphabetical by wavier.

**DESCRIPTION:**

This series is a collection of narratives and evaluations from all federal, administrative, and client files. This information was appraised, evaluated, and compiled to write a wavier to support the agencies request for forgiveness against a federally imposed sanction of noncompliance. Reasons for noncompliance range from economic development to natural disasters.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years after all action is completed and then transfer to State Records Center. Retain in State Records Center for 3 years and then transfer to State Archives with authority to weed.

**APPRAISAL:**

These records have administrative, fiscal, and/or historical value(s). Retention is based on Title XIX requirements. Narratives and evaluations will provide a historical documentation of this agencies noncompliance issues.

**PRIMARY DESIGNATION:**

Private

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 05/2017.