Retention and Classification Report

Agency: Department of Commerce. Division of Public Utilities (817)

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Records Officer: _____

17860	Annual reports
29712	Commission orders
29709	Energy utility company research records
29711	Long-term research resource records
29724	Pipeline safety utility company research records
29710	Tariffs and deferred accounting orders
29713	Telecom and water certificates of public convenience and nec
29722	Telecommunications utility company research records
29708	Transitory records
08341	Utility rate case file working papers
29723	Water utility company research records

AGENCY: Department of Commerce. Division of Public Utilities

SERIES: 17860 3
TITLE: Annual reports
DATES: 1917-
ARRANGEMENT: Alphabetical by utility type, thereunder alphabetical by company name.
ANNUAL ACCUMULATION: 1.00 cubic foot.
DESCRIPTION:

These records are annual reports published by the utility companies and submitted to the Department of Commerce, Division of Public Utilities. They come from any of the following companies: telecommunications, gas, electricity, pipeline safety, or other public utilities. Reports contain customer data, financial data, some accounting information, and information about company shareholders.

RETENTION:

Permanent. Retain for 6 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 month after end of the calendar year that the records cover and then transfer to State Records Center. Retain in State Records Center for 6 years and then transfer to State Archives with authority to weed.

APPRAISAL:

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

This disposition is based on Utah General Retention Schedule, Schedule 1, Item 25.

AGENCY: Department of Commerce. Division of Public Utilities

SERIES: 17860
TITLE: Annual reports

(continued)

PRIMARY DESIGNATION:

Protected Utah Code 63G-2-305(36)(2018)

SECONDARY DESIGNATION(S):

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2019.

AGENCY: Department of Commerce. Division of Public Utilities

SERIES: 29712 3
TITLE: Commission orders
DATES: 1969-
ARRANGEMENT:
DESCRIPTION:

These records are the orders given by the Public Service Commission.

RETENTION:

Permanent. Retain

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Open meeting minutes & supplementary materials, GRS-1709.

AUTHORIZED: 10-28-2020

FORMAT MANAGEMENT:

APPRAISAL:

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

Records represent outcomes of public proceedings.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Commerce. Division of Public Utilities

SERIES: 29709 3
TITLE: Energy utility company research records
DATES: 1969-
ARRANGEMENT: Chronological by year, thereunder alphabetical by company.
DESCRIPTION:

The Division of Public Utilities makes recommendations to the Utah Public Service Commission for rate-making purposes, applications, hearings and other issues affecting quality of service. The Division also handles and investigates consumer complaints and monitors utility operations to ensure compliance with Public Service Commission rules, regulations and orders. See Utah Code 54-4a-1 (1989).

Records may include affiliated interest reports, asset transfer agreements, audit reports, avoided cost updates, Blue Sky records, carbon reduction reports, certificates of public convenience and necessity (CPCN) for energy establishments, competitive procurement records, contract disputes, customer service agreements, depreciation records, dividend declarations, demand-side management (DSM) and energy efficiency (EE) filings, Federal Energy Regulatory Commission (FERC) forms (1, 10Q, 10K Formal Complaints), approvals of standardized forms and agreements, fossil fuel efficiency standard reports or heat rate improvement plans, fuel/coal inventory, hedging reports, Home Energy Lifeline Program (HELP) records, integrated resource plans (IRP), issue securities, lifeline reports, loan agreements, major events records, net metering and export credit records, pole attachment records, Public Utility Regulatory Policies Act (PURPA) reports, qualifying facility energy purchases and sales by Rocky Mountain Power, quality of service reports, renewable balance account (RBA) records, renewable resource notices, requests for proposals (RFP), smart grid reports, solar incentives, Sustainable Transportation and Energy Plan (STEP) Act annual reports, subscriber solar annual report, wind and transmission reporting requirements, and similar 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.

AGENCY: Department of Commerce. Division of Public Utilities

SERIES: 29709
TITLE: Energy utility company research records

(continued)

APPROVED: 01/2019

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 9 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).

Records which are created and managed in association with these duties are organized by utility company, with all its applicable documents together. These records are created, retained, and used in the daily course of work, and have a standard retention value.

RETENTION JUSTIFICATION:

The length of business need for each type of record in this series was analyzed in depth by division executives and management, in conjunction with representative lawyers from the Attorney General's office, in meetings held over a period of 18 months, from April 2017-September 2018. Additionally, the Archives RIM specialist has mapped each record type to its governing legal code and administrative rule in order to verify the appropriateness of the retention period determined. -RMW, 2018-11-23

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 03/2019.

AGENCY: Department of Commerce. Division of Public Utilities

SERIES: 29711 3
TITLE: Long-term research resource records
DATES: 1969-
ARRANGEMENT: Chronological by year, thereunder alphabetical by company.
DESCRIPTION:

The Division of Public Utilities makes recommendations to the Utah Public Service Commission for rate-making purposes, applications, hearings and other issues affecting quality of service. The Division also handles and investigates consumer complaints and monitors utility operations to ensure compliance with Public Service Commission rules, regulations and orders. See Utah Code 54-4a-1 (1989).

Records may include cost of service records, energy balancing account (EBA) records, electric service agreements (ESA) and power purchase agreement (PPA) contracts, major plant additions, multistate process (MSP) records, passthrough filings (for 191 account, infrastructure, and transportation charge), rate case records, renewable service contracts, results of operations, significant energy resource decisions (both voluntary and pre-approval), and inspector training records.

RETENTION:

Retain for 50 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 12/2018

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 49 years and then destroy.

Computer data files: Retain in Office for 50 years and then delete.

AGENCY: Department of Commerce. Division of Public Utilities

SERIES: 29711
TITLE: Long-term research resource records

(continued)

APPRAISAL:

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

After creation, these records are kept long-term as per the Division's reference needs.

RETENTION JUSTIFICATION:

The length of business need for each type of record in this series was analyzed in depth by division executives and management, in conjunction with representative lawyers from the Attorney General's office, in meetings held over a period of 18 months, from April 2017-September 2018. Additionally, the Archives RIM specialist has mapped each record type to its governing legal code and administrative rule in order to verify the appropriateness of the retention period determined. -RMW, 2018-11-23

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 12/2018.

AGENCY: Department of Commerce. Division of Public Utilities

SERIES: 29724 3
TITLE: Pipeline safety utility company research records
DATES: 1969-
ARRANGEMENT: Alphabetical by company, thereunder chronological by year.
DESCRIPTION:

Through delegation from the U.S. Department of Transportation, the Division of Public Utilities' Pipeline Safety Staff (UTPS) monitors compliance and enforces intrastate natural gas pipeline safety requirements.

Records may include inspection reports for standard records and field inspection, Operations and Maintenance (O&M), Emergency Plan (EP), Drug and Alcohol Plan (D&A), Public Awareness Plan (PAP), Operator Qualification Plan (OQ), Distribution Integrity Management Plan (DIMP), Transmission Integrity Management Plan (TIMP), Control Room, Construction, Incident (State and Federally Reportable), Safety Related Conditions, KMZ Files, and meeting minutes.

Records may also include official correspondence between UTPS and regulated operators, such as Notices of Probable Violations (NOPV), inspection close-out letters, operator NOPV response, operator compliance, fines, civil penalty records and damage prevention records; and official correspondence between UTPS and U.S. DOT Pipeline and Hazardous Materials Safety Administration (PHMSA) such as audit and grant records, letters, advisories, progress report tracking, and required training course material.

Notification records such as PHMSA Annual Reports, Utah Construction Notices (UCN), Incident Notices, dig reports, quarterly line damage reports, operator O&M and standard practices, and pipeline and area maps are retained. UTPS Policy and Procedure Manual (P&P), inspection and on call schedules, inspector weekly reports, and vehicle files are also retained.

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.

AGENCY: Department of Commerce. Division of Public Utilities

SERIES: 29724
TITLE: Pipeline safety utility company research records

(continued)

APPROVED: 03/2019

FORMAT MANAGEMENT:

Paper: Retain in Office for 12 years and then destroy.

Computer data files: Retain in Office for 12 years and then delete.

APPRAISAL:

These records have fiscal value(s).

These records are created, retained, and used in the daily course of work, and have a standard retention value. Pipeline utility records are kept 12 years due to federal regulations (see 49 CFR 192.1011 (February 7, 2019)).

PRIMARY DESIGNATION:

Private Utah Code 63G-2-305(1,2,4,10,12,17,18)(2018).

AGENCY: Department of Commerce. Division of Public Utilities

SERIES: 29710 3
TITLE: Tariffs and deferred accounting orders
DATES: 1969-
ARRANGEMENT: Alphabetical by company, thereunder chronological by year.
DESCRIPTION:

The Division of Public Utilities makes recommendations to the Utah Public Service Commission for rate-making purposes, applications, hearings and other issues affecting quality of service. The Division also handles and investigates consumer complaints and monitors utility operations to ensure compliance with Public Service Commission rules, regulations and orders. See Utah Code 54-4a-1 (1989).

These records are a valuable reference resource in the daily work of the Division.

Records may include tariffs, deferred accounting orders, and similar 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: 12/2018

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year 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 20 years and then delete.

AGENCY: Department of Commerce. Division of Public Utilities

SERIES: 29710
TITLE: Tariffs and deferred accounting orders

(continued)

APPRAISAL:

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

RETENTION JUSTIFICATION:

The length of business need for each type of record in this series was analyzed in depth by division executives and management, in conjunction with representative lawyers from the Attorney General's office, in meetings held over a period of 18 months, from April 2017-September 2018. Additionally, the Archives RIM specialist has mapped each record type to its governing legal code and administrative rule in order to verify the appropriateness of the retention period determined. -RMW, 2018-11-23

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 12/2018.

AGENCY: Department of Commerce. Division of Public Utilities

SERIES: 29713 1
TITLE: Telecom and water certificates of public convenience and necessity (CPCN)
DATES: 1969-
ARRANGEMENT:
DESCRIPTION:

RETENTION AND DISPOSITION AUTHORIZATION:
Retention and disposition for this series is proposed and has not yet been approved.

FORMAT MANAGEMENT:

AGENCY: Department of Commerce. Division of Public Utilities

SERIES: 29722 3
TITLE: Telecommunications utility company research records
DATES: 1969-
ARRANGEMENT:
DESCRIPTION:

The Division of Public Utilities makes recommendations to the Utah Public Service Commission for rate-making purposes, applications, hearings and other issues affecting quality of service. The Division also handles and investigates consumer complaints and monitors utility operations to ensure compliance with Public Service Commission rules, regulations and orders. See Utah Code 54-4a-1 (1989).

Records may include, gross revenue reports, old tariffs, formal complaints, informal complaints, audit reports, lifeline reimbursement memos, Universal Service Support Fund (USF) status reports, USF contribution forms, annual USF recommendations, pole attachment agreements, deferred accounting orders, and similar 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: 01/2019

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 9 years and then destroy.

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

AGENCY: Department of Commerce. Division of Public Utilities

SERIES: 29722
TITLE: Telecommunications utility company research records

(continued)

APPRAISAL:

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

Records which are created and managed in association with these duties are organized by utility company, with all its applicable documents together. These records are created, retained, and used in the daily course of work, and have a standard retention value.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 03/2019.

AGENCY: Department of Commerce. Division of Public Utilities

SERIES: 29708 3
TITLE: Transitory records
DATES: 1969-
ARRANGEMENT: Chronological by year, thereunder alphabetical by company.
DESCRIPTION:

These records support the Division's fulfillment of their mandates as described in Utah Code 54-4a-1 (1989). Records include accident reports, correspondence, electric service agreement amendments for municipalities, electric service terminations, utility informational filings, Facilities Review Board non-decision materials, carrying charge updates, quarterly financing reportings, and interconnection agreements. These records are transitory in nature. Record copies of most of these records are held by the Public Service Commission.

RETENTION:

Retain for 2 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Transitory correspondence, GRS-1759.

AUTHORIZED: 11-30-2018

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: Department of Commerce. Division of Public Utilities

SERIES: 29708
TITLE: Transitory records

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Department of Commerce. Division of Public Utilities

SERIES: 8341 3
TITLE: Utility rate case file working papers
DATES: 1979-
ARRANGEMENT: Numerical by case number
ANNUAL ACCUMULATION: 50.00 cubic feet.
DESCRIPTION:

These are working files compiled by the division in considering requests by public utilities to adjust their rates. The division has the authority to review such requests and make recommendations on them to the Public Service Commission under UCA 54 Chapter 4a. These files include the application, notice of hearing, rate schedules, correspondence, and a record of any hearings held.

The original official complete file is maintained by the Public Service Commission, and all request for information must be made to them.

RETENTION:

Retain for 10 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: 08/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year after closure and then transfer to State Records Center. Retain in State Records Center for 9 years and then destroy.

APPRAISAL:

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

Previous decision: retain in office until case is closed and then destroy.
Previous appraisal: administrative.
Agency has requested a ten year retention to meet legal needs.

AGENCY: Department of Commerce. Division of Public Utilities

SERIES: 8341
TITLE: Utility rate case file working papers

(continued)

PRIMARY DESIGNATION:

Private

AGENCY: Department of Commerce. Division of Public Utilities

SERIES: 29723 3
TITLE: Water utility company research records
DATES: 1969-
ARRANGEMENT:
DESCRIPTION:

The Division of Public Utilities makes recommendations to the Utah Public Service Commission for rate-making purposes, applications, hearings and other issues affecting quality of service. The Division also handles and investigates consumer complaints and monitors utility operations to ensure compliance with Public Service Commission rules, regulations and orders. See Utah Code 54-4a-1 (1989).

Records may include gross revenue reports, old tariffs, formal complaints, informal complaints, audit reports, and similar 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: 01/2019

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 9 years and then destroy.

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

AGENCY: Department of Commerce. Division of Public Utilities

SERIES: 29723
TITLE: Water utility company research records

(continued)

APPRAISAL:

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

Records which are created and managed in association with these duties are organized by utility company, with all its applicable documents together. These records are created, retained, and used in the daily course of work, and have a standard retention value.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 03/2019.