

# Retention and Classification Report

**Agency:** Board of Regents (Utah). Higher Education Assistance Authority  
(1448)  
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Salt Lake City, UT 84101-1284  
801-321-7255

**Records Officer:** Dean Cox

12635	Accounting records
83122	Accounts payable
83123	Accounts receivable files
83133	*Aging report
12626	Assistance records
12640	Board and meetings records
21780	Bond information records
83119	Borrower balance report
83110	Borrower files
83111	Borrower payment deposit
12358	Closed school records
12631	Compliance reporting records
26336	Confidential case files
12627	Defaulted borrower payments
12359	*Disclosure statements
12332	External correspondence
83115	Final holder report
12356	Financial aid administrative records
12335	Financial aid applications and promissory notes
12629	Guarantee volume and fee billings
83113	Guaranteed fees report
83135	Late fee journal
83118	Loan servicing client reconciliation files
83121	Master control file
83114	Month-end interest journal
12336	Operations reports
83120	Payment journal
12355	Personnel files
12637	Proposal and loan purchase requests
83117	Purchase journals
26711	Student disability claims

17505 Student loan data base quality reports  
12493 Student loan default requests and cures  
29105 The Utah Education Savings Plan (UESP) account records  
12639 U.S. Department of Education reports and audits  
26335 Utah Educational Savings Plan administrative transactions  
24922 \*Utah Educational Savings Plan closed accounts  
25416 \*Utah Educational Savings Plan participant records  
24923 \*Utah Educational Savings Plan payments  
12357 Utah Student Loan Program audit files  
12321 Utah Student Loan Program board and subcommittee record  
12324 Utah Student Loan Program internal correspondence

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12635

4

**TITLE:** Accounting records

**DATES:** 1977-

**ARRANGEMENT:** Chronological by fiscal year

**ANNUAL ACCUMULATION:** 16.00 cubic feet.

**DESCRIPTION:**

Financial statements (interim), financial statements (audited), accounts payable, daily investment reports, accounting work papers, trustee statements, Utah State Treasurer's statements, bank statements, bank reconciliations, letters of transfer, journal entries, third party reviews, bond insurance files, bond issuance records, bond compliance records, correspondence, servicer reports, money management reports, audits, discretionary funds, and rating agency files of the Utah Student Loan Program.

**RETENTION:**

Retain for 25 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 12/1993

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 month and then transfer to State Records Center. Retain in State Records Center for 299 months and then destroy.

**APPRAISAL:**

These records have administrative, fiscal, and/or legal value(s). This disposition is based on 34 CFR 682.414, which states that loan information must be retained "for at least 5 years after the loan is paid in full or has been determined to be uncollectable." The administrative need is due to possible loan deferments which could extend the payment period.

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12635

**TITLE:** Accounting records

(continued)

**PRIMARY DESIGNATION:**

Exempt Family Educational Rights and Privacy (FERPA) 34 CFR 99.

**SECONDARY DESIGNATION(S):**

Public. UCA 63G-2-301(2)(e) (2008)

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 83122

3

**TITLE:** Accounts payable

**DATES:** 1981-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

These are the expenditure reporting and control files of the Utah Higher Education Assistance Authority.

**RETENTION:**

Retain for 10 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 month and then transfer to State Records Center. Retain in State Records Center for 119 months and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s). This retention is based on administrative need. In the 1988 General Schedule, 6-19, the suggested retention is 3 years.

**PRIMARY DESIGNATION:**

Public UCA 63G-2-301(3)(e)(2008)

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 83123

3

**TITLE:** Accounts receivable files

**DATES:** 1981-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 2.00 cubic feet.

**DESCRIPTION:**

These records support the agency's function to audit all of its accounts (Utah Code 51-2a-201(2014)). These records document monies invoiced or collected in the conduct of business. Information may include bank records, revenue, asset and related accounting records.

**RETENTION:**

Retain for 10 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 months and then transfer to State Records Center. Retain in State Records Center for 118 months and then destroy.

**APPRAISAL:**

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

**RETENTION JUSTIFICATION:**

This retention is based on administrative need. The 1988 General Retention Schedule 6:2 suggests 3 years.

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 83123

**TITLE:** Accounts receivable files

(continued)

**SECONDARY DESIGNATION(S):**

Private. Utah Code 63G-2-302(2)(d)(2014)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 04/2015.

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 83133

3

**TITLE:** Aging report

**DATES:** 1986-2007.

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

This report shows the delinquency of the account and the amount the loan is delinquent. This is the delinquency status of the borrower report.

**RETENTION:**

Retain for 12 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 10 years and then destroy.

**APPRAISAL:**

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

**PRIMARY DESIGNATION:**

Private



**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12626

4

**TITLE:** Assistance records

**DATES:** 2007-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 0.50 cubic feet.

**DESCRIPTION:**

Pre-claim assistance (PCA) requests (notifications of delinquent loans) and Cures (notifications that the delinquent loans have been paid) received on a weekly and monthly basis, also number of loans in aversions and how delinquent they are and the weekly and monthly totals of work completed. Information includes PCA requests, cures, delinquencies, contacts, and skips.

**RETENTION:**

Retain for 3 year(s) after resolution of issue

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 12/1993

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year after delinquency is cleared and then transfer to State Records Center. Retain in State Records Center for 2 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s). This disposition is based on audit requirements identified by the agency.

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12626

**TITLE:** Assistance records

(continued)

**PRIMARY DESIGNATION:**

Exempt Family Education Rights and Privacy (FERPA) 34 CFR 99.

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12640

3

**TITLE:** Board and meetings records

**DATES:** 1977-

**ARRANGEMENT:** Chronological by fiscal year

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

Records created by a committee or conference, including advisory committee's relating to executive establishment, organization, membership, and policy. May include agenda, meeting minutes, final reports, and related records documenting the accomplishments of official boards and committees.

**RETENTION:**

Retain for 1 year(s)

**DISPOSITION:**

Permanent. Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**AUTHORIZED:** 07-01-2014

**FORMAT MANAGEMENT:**

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

**APPRAISAL:**

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

**PRIMARY DESIGNATION:**

Public UCA 63G-2-301 (2008)

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 21780

3

**TITLE:** Bond information records

**DATES:** 1988-

**ARRANGEMENT:** Chronological by bond maturity date

**ANNUAL ACCUMULATION:** 5.00 cubic feet.

**DESCRIPTION:**

These records document bonds which are issued. Information includes the draft prospectus ("red herring") and final proposal, which delineates how the bonds are paid out, where the money comes from, and how they are secured. Information may also include bond financing documentation such as general ledgers. Both the draft and final proposals are retained for comparison purposes for litigation.

**RETENTION:**

Retain for 10 year(s) after final action

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 06/1999

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 month after bond maturity and then transfer to State Records Center. Retain in State Records Center for 119 months and then destroy.

**APPRAISAL:**

These records have fiscal, and/or legal value(s). This disposition is based on the value these records hold during litigation, particularly when individuals who purchased bonds during the "red herring" stage bring suit. After 10 years, most claims and all audit requirements have been met.

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 21780

**TITLE:** Bond information records

(continued)

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 83119

3

**TITLE:** Borrower balance report

**DATES:** 1984-

**ARRANGEMENT:** Alphabetical by name

**ANNUAL ACCUMULATION:** 9.00 cubic feet.

**DESCRIPTION:**

These are computer reports run at month-end closing. It lists the borrower's name, social security number, account status and current balance.

**RETENTION:**

Retain for 10 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 8 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s). This retention is based on administrative need. The 1988 General Schedule 6:25 suggests a retention of 7 years.

**PRIMARY DESIGNATION:**

Private UCA 63G-2-302(1)(h) and (2)(2008)

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 83110

3

**TITLE:** Borrower files

**DATES:** 1985-

**ARRANGEMENT:** Alphabetical by surname

**ANNUAL ACCUMULATION:** 37.00 cubic feet.

**DESCRIPTION:**

These are student loans that have been either paid off, or been written off because the person has died, gone bankrupt or had a permanent disability as described in 34 CFR 682.402

**RETENTION:**

Retain for 10 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office until file is closed and then transfer to State Records Center. Retain in State Records Center for 10 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s). The recommended retention for these records is 5 years as stated in 34 CFR 682.414. The submitted retention is for administrative need.

**PRIMARY DESIGNATION:**

Exempt Family Education Rights and Privacy Act (FERPA)

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 83111

3

**TITLE:** Borrower payment deposit

**DATES:** 1982-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

These are deposits of loans payments made to the Treasurer and include a list of name, social security number, amount paid, check number and borrower status. They also include the deposit receipt.

**RETENTION:**

Retain for 10 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 8 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s). According to 34 CFR 682.412, these records will be audited not less frequently than every 2 years and 1988 General Schedule suggests these records be kept 1 year. The submitted retention reflects administrative request.



**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 83111

**TITLE:** Borrower payment deposit

(continued)

**PRIMARY DESIGNATION:**

Private UCA 63G-2-302(1)(h) and (2)(2008)

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12358

3

**TITLE:** Closed school records

**DATES:** 1987-

**ARRANGEMENT:** Chronological by school closure date

**ANNUAL ACCUMULATION:** 0.10 cubic feet.

**DESCRIPTION:**

Any proprietary school in this state that ceases operations is required to file copies of the students' transcripts with the State Board of Regents in accordance with UCA 53B-5-109 (1992) to receive the records of closed schools. These files usually contain fiscal records and financial aid records, as well as student academic records which contain official documentation listing student's courses, grades, credits earned, and status achieved and are often referred to as a transcript.

**RETENTION:**

Retain for 10 year(s)

**DISPOSITION:**

Permanent. Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Academic record files, GRS-2445.

**AUTHORIZED:** 07-01-1990

**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 transfer to State Archives with authority to weed.

**APPRAISAL:**

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

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12358

**TITLE:** Closed school records

(continued)

**PRIMARY DESIGNATION:**

Exempt Family Educational Rights and Privacy (FERPA) 34 CFR 99.

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12631

4

**TITLE:** Compliance reporting records

**DATES:** 1977-

**ARRANGEMENT:** Chronological by federal fiscal year

**ANNUAL ACCUMULATION:** 3.00 cubic feet.

**DESCRIPTION:**

Monthly form 1189 and quarterly form 1130 and all supporting documentation, repurchases/rehabilitations, indemnification letters, unfiled bankruptcy receivables, trigger calculations, reinsurance reports, and default claim schedules which demonstrate to the federal government the agency's compliance with its laws and rules regarding student loans.

**RETENTION:**

Retain for 25 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 12/1993

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 23 years and then destroy.

Computer data files: Retain in Office until administrative need ends and then delete.

**APPRAISAL:**

These records have administrative, fiscal, and/or legal value(s). This disposition is based on 34 CFR 682.414, which states that loan information must be retained "for at least 5 years after the loan is paid in full or has been determined to be uncollectable." The administrative need is due to possible loan deferments which could extend the payment period.

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12631

**TITLE:** Compliance reporting records

(continued)

**PRIMARY DESIGNATION:**

Public UCA 63G-2-301(2)(e) (2008)

**SECONDARY DESIGNATION(S):**

Exempt. Family Educational Rights and Privacy (FERPA) 34 CFR 99.  
(All personal data).

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 26336

3

**TITLE:** Confidential case files

**DATES:** 2006-

**ARRANGEMENT:** Alphabetical by surname.

**DESCRIPTION:**

This series contains outstanding claims and litigation proceedings from account owners who request reimbursement from the Utah Education Savings Plan (UESP). Information includes names, addresses, Social Security numbers, and correspondence.

**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:** 10/2009

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years after documents are imaged and then transfer to State Records Center. Retain in State Records Center for 48 years and then destroy.

Digital image: For records beginning in 2006 and continuing to the present. Retain in Office for 7 years after account is closed and then delete.

**APPRAISAL:**

These records have administrative, fiscal, and/or legal value(s). This administrative and fiscal appraisal is based on the need for the agency to account for corrections made to participant fund accounts. Records also have legal value as they are required by UCA 53-B-8a (2009).

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 26336

**TITLE:** Confidential case files

(continued)

**PRIMARY DESIGNATION:**

Private UCA 63G-2-302(1)(h) and (j); (2)(b) and (d) (2009)

**SECONDARY DESIGNATION(S):**

Protected. UCA 63G-2-305(55) (2009)

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12627

4

**TITLE:** Defaulted borrower payments

**DATES:** 1977-

**ARRANGEMENT:** Chronological by fiscal year

**ANNUAL ACCUMULATION:** 4.00 cubic feet.

**DESCRIPTION:**

Check copies, computer reports, and adjustments to borrower accounts for payments made on defaulted loans.

**RETENTION:**

Retain for 25 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 12/1993

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 23 years and then destroy.

Computer data files: Retain in Office until administrative need ends and then delete.

**APPRAISAL:**

These records have administrative, fiscal, and/or legal value(s). This disposition is based on 34 CFR 682.414, which states that loan information must be retained "for at least 5 years after the loan is paid in full or has been determined to be uncollectable." The administrative need is due to possible loan deferments which could extend the payment period.



**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12627

**TITLE:** Defaulted borrower payments

(continued)

**PRIMARY DESIGNATION:**

Exempt Family Educational Rights and Privacy (FERPA) 34 CFR 99.

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12359

3

**TITLE:** Disclosure statements

**DATES:** 1985-2007.

**ARRANGEMENT:** Chronological by guarantee date, thereunder numerical by lender code, thereunder alphabetical by borrower's surname

**DESCRIPTION:**

Disclosure statements for Stafford, SLS, PLUS, and Consolidated loans, originals held by the loan holder, copies needed for documentation by the State Board of Regents.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 12/1993

**FORMAT MANAGEMENT:**

Paper copy: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 23 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or legal value(s). This disposition is based on 34 CFR 682.414, which states that loan information must be retained "for at least 5 years after the loan is paid in full or has been determined to be uncollectable." The administrative need is due to possible loan deferments which could extend the payment period.

**PRIMARY DESIGNATION:**

Exempt Family Education Rights and Privacy (FERPA) 34 CFR 99.

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12332

3

**TITLE:** External correspondence

**DATES:** 1978-

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

Business-related correspondence which provide unique information about agency functions, policies, procedures, or programs. These records document material discussions and decisions made regarding all agency interests, and may originate on paper, electronic mail, or other media. This correspondence is filed separately from program case files, and project files.

**RETENTION:**

Retain for 5 year(s)

**DISPOSITION:**

Permanent. Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**AUTHORIZED:** 05-01-2014

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 5 years and then transfer to State Archives.

**APPRAISAL:**

These records have historical value(s).

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 83115

3

**TITLE:** Final holder report

**DATES:** 1983-

**ARRANGEMENT:** alphabetical by name

**ANNUAL ACCUMULATION:** 0.50 cubic feet.

**DESCRIPTION:**

When a student defaults on a student loan the Utah Higher Education Assistance Authority will purchase the loan (after a good faith effort on the part of the lender to collect) and collect the money. It includes the name and social security number of the loanee and the outcome of the loan.

**RETENTION:**

Retain for 10 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 8 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s). According to 34 CFR 682.414 these records need not be kept longer than 5 years. The submitted retention reflected administrative need.

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 83115

**TITLE:** Final holder report

(continued)

**PRIMARY DESIGNATION:**

Private UCA 63G-2-302(1)(h) and (2)(2008)

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12356

3

**TITLE:** Financial aid administrative records

**DATES:** 1978-

**ARRANGEMENT:** Alphabetical by program type

**ANNUAL ACCUMULATION:** 0.20 cubic feet.

**DESCRIPTION:**

These are the records of the State Board of Regents which demonstrate how the financial aid programs are administered. Includes information, policies, and procedures concerning the administration of various programs including SSIG (State Student Incentive Grant Program), SEOG (Supplemental Education Opportunity Grant) , Title II (Math/Science Program), and Paul Douglas (Teacher Scholarship Program).

**RETENTION:**

Retain for 3 year(s)

**DISPOSITION:**

Permanent. Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**AUTHORIZED:** 02-01-2015

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 3 years or until superseded and then transfer to State Archives with authority to weed.

**APPRAISAL:**

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

**PRIMARY DESIGNATION:**

Public UCA 63G-2-301 (2008)

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12335

4

**TITLE:** Financial aid applications and promissory notes

**DATES:** 1985-

**ARRANGEMENT:** Numerical by batch number

**ANNUAL ACCUMULATION:** 20.00 cubic feet.

**DESCRIPTION:**

Promissory note loan data, loan disclosure data, applications for Stafford student loans, SLS (Supplemental Loans for Students) PLUS loans, loan consolidation, verification certificates, and copies of promissory notes for initial application and loan of funds to students. Original records held by the lender, which is sometimes an educational institution.

**RETENTION:**

Retain for 25 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 12/1993

**FORMAT MANAGEMENT:**

Paper copy: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 23 years and then destroy.

**APPRAISAL:**

These records have administrative, fiscal, and/or legal value(s). This disposition is based on 34 CFR 682.414, which states that loan information must be retained "for at least 5 years after the loan is paid in full or has been determined to be uncollectable." The administrative need is due to possible loan deferments which could extend the payment period.

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12335

**TITLE:** Financial aid applications and promissory notes

(continued)

**PRIMARY DESIGNATION:**

Exempt Family Education Rights and Privacy (FERPA) 34 CFR 99.



**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12629

4

**TITLE:** Guarantee volume and fee billings

**DATES:** 1977-

**ARRANGEMENT:** Chronological by fiscal year

**ANNUAL ACCUMULATION:** 2.00 cubic feet.

**DESCRIPTION:**

Billings, refunds, and cumulative guarantee volume reports for fees charged and added to the total amount of the loan by the guarantee agency and the lender for processing student loans.

**RETENTION:**

Retain for 26 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 12/1993

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 25 years and then destroy.

**APPRAISAL:**

These records have administrative, fiscal, and/or legal value(s). This disposition is based on 34 CFR 682.414, which states that loan information must be retained "for at least 5 years after the loan is paid in full or has been determined to be uncollectable." The administrative need is due to possible loan deferments which could extend the payment period.

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12629

**TITLE:** Guarantee volume and fee billings

(continued)

**PRIMARY DESIGNATION:**

Public UCA 63G-2-301(2)(e) (2008)

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 83113

3

**TITLE:** Guaranteed fees report

**DATES:** 1983-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 0.20 cubic feet.

**DESCRIPTION:**

When a student receives a loan for school, the guarantee agency (UHEEA) must guarantee this loan. This report is a record of the guarantee fees paid to each lending agency. It is a yearly report for the Secretary of Education Office.

**RETENTION:**

Retain for 10 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 8 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s). According to 34 CFR 682.414 these records should be kept 5 years. The submitted retention reflects administrative need.

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 83135

3

**TITLE:** Late fee journal

**DATES:** 1984-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 0.50 cubic feet.

**DESCRIPTION:**

This report is posted the 15th of the month and includes how much late fee must be paid by the borrower and how much interest has accrued on that account during the month.

**RETENTION:**

Retain for 10 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 8 years and then destroy.

**APPRAISAL:**

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

**PRIMARY DESIGNATION:**

Private

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 83118

3

**TITLE:** Loan servicing client reconciliation files

**DATES:** 1986-

**ARRANGEMENT:** alphabetical by name

**ANNUAL ACCUMULATION:** 6.00 cubic feet.

**DESCRIPTION:**

These are reports for the servicing unit used to reconcile debits, credits, and other activity on the computer system. Reports included are: client reconciliation reports, aging of delinquent accounts, reports of debts serviced, debts converted, late charges and fees assessed, refund and cancellation reports, sale reports, deposit reports, disbursement reports.

**RETENTION:**

Retain for 10 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 month and then transfer to State Records Center. Retain in State Records Center for 119 months and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s). According to 34 CFR 482.412 these files will be audited not less frequently than every 2 years. State audit requirements are generally 3 years.

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 83118

**TITLE:** Loan servicing client reconciliation files

(continued)

**PRIMARY DESIGNATION:**

Private

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 83121

3

**TITLE:** Master control file

**DATES:** 1983-

**ARRANGEMENT:** Alphabetical by name

**ANNUAL ACCUMULATION:** 2.00 cubic feet.

**DESCRIPTION:**

These are computer reports run at month-end closing. It contains summaries and copies of all transactions which would affect a borrower's outstanding balance.

**RETENTION:**

Retain for 10 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 8 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).  
This retention is based on administrative need.

**PRIMARY DESIGNATION:**

Private

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 83114

3

**TITLE:** Month-end interest journal

**DATES:** 1982-

**ARRANGEMENT:** Chronological by date.

**ANNUAL ACCUMULATION:** 0.20 cubic feet.

**DESCRIPTION:**

This is a computer printout run monthly which reports the interest accrued on loans during the month.

**RETENTION:**

Retain for 10 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 8 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s). According to 34 CRF 682.412 these records will be audited not less frequently than every two years.



**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12336

4

**TITLE:** Operations reports

**DATES:** 1990-

**ARRANGEMENT:** Chronological by processing date

**ANNUAL ACCUMULATION:** 16.00 cubic feet.

**DESCRIPTION:**

Guarantee fee billing statements, daily operations reports, balancing reports, lender's manifest reports, and enrollment verification reports from the Utah Student Loan Program.

**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:** 12/1993

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 23 years and then destroy.

Computer data files: Retain in Office until administrative need ends and then delete.

**APPRAISAL:**

These records have administrative, fiscal, and/or legal value(s). This disposition is based on 34 CFR 682.414, which states that loan information must be retained "for at least 5 years after the loan is paid in full or has been determined to be uncollectable." The administrative need is due to possible loan deferments which could extend the payment period.

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12336

**TITLE:** Operations reports

(continued)

**PRIMARY DESIGNATION:**

Exempt Family Education Rights and Privacy (FERPA) 34 CFR 99.

**SECONDARY DESIGNATION(S):**

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

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 83120

3

**TITLE:** Payment journal

**DATES:** 1982-

**ARRANGEMENT:** alphabetical by name

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

This is a daily record of payments received. Payments are posted daily.

**RETENTION:**

Retain for 10 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 8 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s). This retention is based on administrative need the 1988 General Schedule 6:25 suggests a retention of 7 years.

**PRIMARY DESIGNATION:**

Private

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12355

3

**TITLE:** Personnel files

**DATES:** 1978-

**ARRANGEMENT:** Alphabetical by surname

**ANNUAL ACCUMULATION:** 0.10 cubic feet.

**DESCRIPTION:**

Complete work history of individual while employed by the State. Refer to UCA 67-18-1, et seq. When an employee transfers to another state agency, the official personnel file must be sent to the new agency. 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. Also contains resumes and interview evaluations.

**RETENTION:**

Retain for 65 year(s) or until after separation

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**AUTHORIZED:** 06-01-2017

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 63 years or until 3 years after death or retirement and then destroy.

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12355

**TITLE:** Personnel files

(continued)

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

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

**SECONDARY DESIGNATION(S):**

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

Exempt. UCA 53B-7-201 thru 205 (1987)

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12637

4

**TITLE:** Proposal and loan purchase requests

**DATES:** 1977-

**ARRANGEMENT:** Chronological by fiscal year

**ANNUAL ACCUMULATION:** 2.00 cubic feet.

**DESCRIPTION:**

Requests for proposals (RFP's) from financial institutions for investments and for student loan purchases, includes RFP's, responses, and student loan purchases.

**RETENTION:**

Retain for 25 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 12/1993

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 24 years and then destroy.

Computer data files: Retain in Office until administrative need ends and then delete.

**APPRAISAL:**

These records have administrative, fiscal, and/or legal value(s). This disposition is based on 34 CFR 682.414, which states that loan information must be retained "for at least 5 years after the loan is paid in full or has been determined to be uncollectable." The administrative need is due to possible loan deferments which could extend the payment period.

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12637

**TITLE:** Proposal and loan purchase requests

(continued)

**PRIMARY DESIGNATION:**

Exempt Family Educational Rights and Privacy (FERPA) 34 CFR 99.

**SECONDARY DESIGNATION(S):**

Public. UCA 63G-2-301(2)(e) (2008)

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 83117

3

**TITLE:** Purchase journals

**DATES:** 1981-

**ARRANGEMENT:** Alphabetical by name

**ANNUAL ACCUMULATION:** 0.50 cubic feet.

**DESCRIPTION:**

When a student defaults on a student loan the State (as a guarantee agency of the Federal Government) will purchase an uncollectable loan and pursue collection. This is a computer report listing the purchase date, borrower's social security number and principal and interest allocation. It also contains a listing of the loans purchased and the lender agency.

**RETENTION:**

Retain for 10 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 8 years and then destroy.

**APPRAISAL:**

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

**PRIMARY DESIGNATION:**

Private UCA 63G-2-302(1)(h) and (2)(2008)



**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 26711

3

**TITLE:** Student disability claims

**DATES:** 1990-

**ARRANGEMENT:** Chronological by date.

**DESCRIPTION:**

These records document claims made by students regarding the inability to repay student loans due to a permanent disability. Claims include personal information such as name, address, Social Security number, and medical records regarding the disability.

**RETENTION:**

Retain for 1 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Americans with disabilities act requests for accommodations, GRS-1707.

**AUTHORIZED:** 10-01-2001

**FORMAT MANAGEMENT:**

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

Digital image: Retain in Office until administrative needs end and then delete.

**APPRAISAL:**

These records have administrative value(s).

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 26711

**TITLE:** Student disability claims

(continued)

**PRIMARY DESIGNATION:**

Exempt            Family Education Rights and Privacy Act (FERPA) 34 CFR  
99.32(c)(3)

**SECONDARY DESIGNATION(S):**

Private.            UCA 63G-2-302(b)

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 17505

3

**TITLE:** Student loan data base quality reports

**DATES:** 1991-

**ARRANGEMENT:** Alphabetical by title, thereunder chronological.

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

These reports track the history of information maintained in the student loan database. When changes in the types of information occur or the way information is collected and maintained, it must be recorded in the system documentation. Also, when corrections or programming changes take place in the data base they are documented. These reports are used for historical reference regarding the data base and are also helpful when audits are conducted and questions asked about why software programming changes were made. Information includes error detail research which lists specific student loan records and the data errors corrected.

**RETENTION:**

Retain for 1 year(s)

**DISPOSITION:**

Permanent. Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 12/1996

**FORMAT MANAGEMENT:**

Computer data files: Retain in Office permanently.

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

**APPRAISAL:**

These records have historical value(s).

This disposition is based on the reference value the records hold for documenting the student loan electronic system. Records documenting the loans themselves and supportive information are

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 17505

**TITLE:** Student loan data base quality reports

(continued)

maintained "at least five years after the loan is paid in full or has been determined to be uncollectable" according to 34 CFR 682.414(a)(2) (1992). Included would be "documents required for the exercise of forbearance" under (3)(ii)(G).

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12493

4

**TITLE:** Student loan default requests and cures

**DATES:** 1991-

**ARRANGEMENT:** Chronological by date received, thereunder by request date.

**ANNUAL ACCUMULATION:** 3.00 cubic feet.

**DESCRIPTION:**

Pre-claims Assistance (PCA) Requests (notification from a loan lender/servicer that a loan is delinquent) and cures (notification that the loan is no longer delinquent). Information includes borrower's name, social security number, and information pertaining to the delinquency or reason PCA is cured.

**RETENTION:**

Retain for 25 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 12/1993

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 23 years and then destroy.

**APPRAISAL:**

These records have administrative, fiscal, and/or legal value(s). This disposition is based on 34 CFR 682.414, which states that loan information must be retained "for at least 5 years after the loan is paid in full or has been determined to be uncollectable." The administrative need is due to possible loan deferments which could extend the payment period.

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12493

**TITLE:** Student loan default requests and cures

(continued)

**PRIMARY DESIGNATION:**

Exempt Family Education Rights Privacy (FERPA) 34 CFR 99.

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 29105

3

**TITLE:** The Utah Education Savings Plan (UESP) account records

**DATES:** 1996-

**ARRANGEMENT:** Chronological.

**DESCRIPTION:**

The Utah Education Savings Plan (UESP) manages a public trust created to encourage and assist Utah's citizens in receiving higher education (Utah Code 53B-8a-101(1)(b)(2010). UESP creates investment accounts for individuals who would like to save money for a college education, typically to benefit a child or grandchild. These records document the investments related to these accounts. Records may include initial participation agreements, direct deposit forms, payment records, account adjustment documentation, disbursement request forms, and related correspondence.

**RETENTION:**

Retain for 7 year(s) after final action

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Trust financial records, GRS-1858.

**AUTHORIZED:** 12-01-2016

**FORMAT MANAGEMENT:**

Computer data files: Retain in Office for 7 years after final action and then delete.

Paper: Retain in Office for 1 year after final action and then transfer to State Records Center. Retain in State Records Center for 6 years and then destroy.

**APPRAISAL:**

These records have administrative, fiscal, and/or legal value(s). These records have administrative and fiscal value as they document individual accounts and account tax benefits. Legal authority and obligations are outlined in Utah Code 53B-8a-103

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 29105

**TITLE:** The Utah Education Savings Plan (UESP) account records

(continued)

(2016).

**PRIMARY DESIGNATION:**

Private Utah Code 63G-2-302(2)(b)and (d)(2016)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 04/2017.



**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12639

3

**TITLE:** U.S. Department of Education reports and audits

**DATES:** 1977-

**ARRANGEMENT:** Chronological by fiscal year or quarter.

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

These records are reports and audits from the U.S. Department of Education.

**RETENTION:**

Retain for 10 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Performance audit work papers, GRS-1728.

**AUTHORIZED:** 03-20-2018

**FORMAT MANAGEMENT:**

Paper copy: Retain in Office for 1 month and then transfer to State Records Center. Retain in State Records Center for 119 months and then destroy.

Computer data files: Retain in Office until administrative need ends and then delete.

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Public UCA 63G-2-301 (2008)

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 26335

3

**TITLE:** Utah Educational Savings Plan administrative transactions

**DATES:** 2006-

**ARRANGEMENT:** Chronological by date of processing.

**DESCRIPTION:**

This series contains the records of adjustments made to accounts, dividends, bounced checks, and automated clearing house transactions such as electronic account withdrawals. The records are used to track account adjustments and corrections. Information includes, names, addresses, Social Security numbers, payment information, account ledgers, and correspondence.

**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:** 10/2009

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years after documents are imaged and then transfer to State Records Center. Retain in State Records Center for 48 years and then destroy.

Digital image: For records beginning in 2006 and continuing to the present. Retain in Office for 7 years after account is closed and then delete.

**APPRAISAL:**

These records have administrative, fiscal, and/or legal value(s). This administrative and fiscal appraisal is based on the need for the agency to account for corrections and adjustments made to participant accounts. The records have legal value as they are required by UCA 53B-8a (2009).

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 26335

**TITLE:** Utah Educational Savings Plan administrative transactions

(continued)

**PRIMARY DESIGNATION:**

Private UCA 63G-2-302(1)(h) and (j); (2)(b) and (d) (2009)

**SECONDARY DESIGNATION(S):**

Protected. UCA 63G-2-305(55) (2009)

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 24922

3

**TITLE:** Utah Educational Savings Plan closed accounts

**DATES:** 1996-2001.

**ARRANGEMENT:** Chronological by submission date.

**DESCRIPTION:**

This series contains closed accounts for participants of the Utah Educational Savings Plan. Information includes the original participation agreements which list names, home addresses, income histories, beneficiaries, payments, disbursement information, and Social Security numbers.

**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:** 10/2009

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 48 years and then destroy.

**APPRAISAL:**

These records have administrative, fiscal, and/or legal value(s). These records have administrative and fiscal value as they document the initial contribution and succeeding contribution changes to individual accounts. Legal authority and obligations are outlined in UCA 53B-08a (2009).

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 24922

**TITLE:** Utah Educational Savings Plan closed accounts

(continued)

**PRIMARY DESIGNATION:**

Private UCA 63G-2-302(1)(h) and (j); (2)(b) and (d) (2009)

**SECONDARY DESIGNATION(S):**

Protected. UCA 63G-2-305(55) (2009)

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 25416

3

**TITLE:** Utah Educational Savings Plan participant records

**DATES:** 1996-2017.

**ARRANGEMENT:** Chronological by submission date.

**DESCRIPTION:**

This series documents the activity of participants in the Utah Educational Savings Plan (UESP). The UESP creates investment accounts for individuals who would like to save money for a college education, typically to benefit a child or grandchild. The average length of participation in the program is between one to eighteen years. Records in the series include participation agreement forms, correspondence, direct deposit forms, and disbursement request forms. Documents in the series may contain home addresses, income information, beneficiary information, payment information, and Social Security numbers.

**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:** 10/2009

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year after documents are digitally imaged and then transfer to State Records Center. Retain in State Records Center for 49 years and then destroy.

Digital image: For records beginning in 2006 and continuing to the present. Retain in Office for 7 years after account is closed and then delete.

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 25416

**TITLE:** Utah Educational Savings Plan participant records

(continued)

**APPRAISAL:**

These records have administrative, fiscal, and/or legal value(s). This appraisal is based on the need for the agency to account for custody of participant funds. Legal authority and obligations are outlined in UCA 53B-08a (2009).

**PRIMARY DESIGNATION:**

Private UCA 63G-2-302(1)(h) and (j); (2)(b) and (d) (2009)

**SECONDARY DESIGNATION(S):**

Protected. UCA 63G-2-305(55) (2009)

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 24923

3

**TITLE:** Utah Educational Savings Plan payments

**DATES:** 1996-2017.

**ARRANGEMENT:** Chronological by date of payment.

**DESCRIPTION:**

This series contains payments made to Utah Educational Savings Plan (UESP) accounts. Records document contributions credited to UESP account balances. Information includes copies of checks, bill payment records, wire instructions, and automated clearing house documentation processes such as electronic withdrawals from accounts.

**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:** 10/2009

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years after documents have been imaged and then transfer to State Records Center. Retain in State Records Center for 48 years and then destroy.

Digital image: For records beginning in 2006 and continuing to the present. Retain in Office for 7 years after account is closed and then delete.

**APPRAISAL:**

These records have administrative, fiscal, and/or legal value(s). These records have administrative and fiscal value as they document the value of the individual accounts and account tax benefits. Legal authority and obligations are outlined in UCA 53B-08a (2009).



**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 24923

**TITLE:** Utah Educational Savings Plan payments

(continued)

**PRIMARY DESIGNATION:**

Private UCA 63G-2-302(1)(h) and (j); (2)(b) and (d) (2009)

**SECONDARY DESIGNATION(S):**

Protected. UCA 63G-2-305(55) (2009)

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12357

4

**TITLE:** Utah Student Loan Program audit files

**DATES:** 1978-

**ARRANGEMENT:** Alphabetical by school, thereunder by lender

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

Audits of the Utah Student Loan Program include audit records, school history files, and lender history files.

**RETENTION:**

Retain for 5 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 12/1993

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s). This disposition is based on the fiscal and administrative needs of the agency.

**PRIMARY DESIGNATION:**

Public UCA 63G-2-301 (2008)

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12357

**TITLE:** Utah Student Loan Program audit files

(continued)

**SECONDARY DESIGNATION(S):**

Protected. UCA 63G-2-305 (2008)

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12321

3

**TITLE:** Utah Student Loan Program board and subcommittee records

**DATES:** 1988-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 0.50 cubic feet.

**DESCRIPTION:**

These records reflect items considered by the Utah Higher Education Assistance Authority Board and the Loan Finance Subcommittee and subsequent actions taken. Information includes agendas, mailings, and other related material.

**RETENTION:**

Retain for 5 year(s)

**DISPOSITION:**

Permanent. Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**AUTHORIZED:** 07-01-2014

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 5 years and then transfer to State Archives with authority to weed.

**APPRAISAL:**

These records have historical value(s).

**PRIMARY DESIGNATION:**

Public

**SECONDARY DESIGNATION(S):**

Protected

**AGENCY:** Board of Regents (Utah). Higher Education Assistance Authority

**SERIES:** 12324

3

**TITLE:** Utah Student Loan Program internal correspondence

**DATES:** 1978-

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

Business-related messages that document work accomplished, transactions made, or actions taken. These records do not offer unique information about agency functions, programs, or policies, though they may cite them. These records may originate on paper, electronic mail, or other media.

**RETENTION:**

Retain for 3 year(s)

**DISPOSITION:**

Permanent. Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 3 years and then transfer to State Archives with authority to weed.

Paper copy: Retain in Office for 2 years and then destroy.

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Public