

## Retention and Classification Report

**Agency:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital (644)  
1300 East Center Street  
P.O. Box 270  
Provo, UT 84603-0270  
801-344-4400

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

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**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital

**SERIES:** 10200

3

**TITLE:** Acuity report records

**DATES:** 1991-

**ARRANGEMENT:** Chronological by date of report

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

These records support the agency's objective to care for all persons with severe mental disorders (Utah Code 62A-15-610(2011)). These records document the amount of staff needed for each unit during each shift. Information includes individual unit staffing levels, patient status (assaultive, suicidal, etc.), admissions, on and off ground appointments, discharges, high security patients and census verification.

**RETENTION:**

Retain for 30 day(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Transitory tracking records, GRS-1720.

**AUTHORIZED:** 03-09-2021

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 30 days and then destroy.

**APPRAISAL:**

These records have administrative value(s).

This disposition is based on the needs expressed by the agency.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 10200

**TITLE:** Acuity report records

(continued)

**PRIMARY DESIGNATION:**

Controlled

Utah Code 63G-2-304(2008)

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital

**SERIES:** 84878

3

**TITLE:** Administrative correspondence files

**DATES:** 1925-

**ARRANGEMENT:** Chronological, thereunder alphabetical by subject

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

This is a record of executive correspondence that documents how the office is organized, how it functions, its pattern of action, its policies, procedures and achievements. Policies and procedures govern patient care as well as office function.

This series includes all correspondence directly related to patient care, requests for patient information, private citizen contacts, recruitment, personnel action, and inquiries from other hospitals.

**RETENTION:**

Permanent. Retain for 5 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule State agency executive correspondence, GRS-1758.

**AUTHORIZED:** 07-12-2018

**FORMAT MANAGEMENT:**

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

Microfilm master: Retain in State Archives permanently with authority to weed.

Microfilm duplicate: Retain in State Archives permanently with authority to weed.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 84878

**TITLE:** Administrative correspondence files

(continued)

**APPRAISAL:**

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

This disposition is based on the secondary historical value to researchers interested in social policy in Utah.

**PRIMARY DESIGNATION:**

Controlled

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital

**SERIES:** 81981

3

**TITLE:** Admitting registers

**DATES:** 1885-

**ARRANGEMENT:** Chronological.

**DESCRIPTION:**

Records which document an agency's history. Includes scrapbooks, photographs, articles, program notes and information about events and programs sponsored or funded by an agency. May also include narrative audio and audiovisual agency histories.

**RETENTION:**

Permanent. Retain until administrative need ends

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Agency history records, GRS-1723.

**AUTHORIZED:** 11-28-2018

**FORMAT MANAGEMENT:**

Microfilm master: Retain in State Archives permanently with authority to weed.

Paper: Retain in State Archives permanently with authority to weed.

Microfilm duplicate: Retain in State Archives permanently with authority to weed.

**APPRAISAL:**

These records have administrative, and/or historical value(s). This disposition is based on the historical value of early State Hospital records.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 81981

**TITLE:** Admitting registers

(continued)

**PRIMARY DESIGNATION:**

Exempt

The records in this series contain medical information that is restricted under the provisions of the federal Health Information Portability and Accountability Act (HIPAA).



**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 27344

3

**TITLE:** Annual report

**DATES:** 2000-

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

These records summarize the service area annual reports and list the accomplishments and significant changes achieved throughout the hospital during the fiscal year.

**RETENTION:**

Retain permanently

**DISPOSITION:**

May 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 permanently.

**APPRAISAL:**

These records have administrative, and/or historical value(s).  
The annual report is a summary of the accomplishments and significant changes in hospital services. These records may serve as evidence of historical development and change.

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 27343

1

**TITLE:** Annual report by service area

**DATES:** 2000-

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

These records are a summary of the goals and objectives for performance improvement by service areas within the hospital. Information includes accomplishments and significant changes achieved by the service area during the fiscal year.

**RETENTION:**

Retain for 5 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**FORMAT MANAGEMENT:**

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

**APPRAISAL:**

These records have administrative value(s).

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 26570

3

**TITLE:** Campus police reports

**DATES:** 2003-

**ARRANGEMENT:** Numerical by case number.

**ANNUAL ACCUMULATION:** 3.00 cubic feet.

**DESCRIPTION:**

These records contain criminal and accident reports involving Utah State Hospital patients and staff. They include accident report forms, initial contact reports, narrative accounts of incidents, and investigative reports including names and personally identifying information on employees or patients involved.

**RETENTION:**

Retain for 5 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Security guard records, GRS-2018.

**AUTHORIZED:** 07-01-1990

**FORMAT MANAGEMENT:**

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

**APPRAISAL:**

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

**PRIMARY DESIGNATION:**

Private Utah Code 63G-2-302(1)(b) (2020)

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 26570

**TITLE:** Campus police reports

(continued)

**SECONDARY DESIGNATION(S):**

Controlled. Utah Code 63G-2-304(2)(a),(b) (2008)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 02/2021.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 3894

3

**TITLE:** Correspondence files

**DATES:** 1945-

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

This record documents internal and external communications, housekeeping correspondence such as thank-you letters, etc. that do not add any new information to the agency's mission, informational services, and requests from other hospitals.

**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 1 year and then transfer to State Records Center. Retain in State Records Center for 1 year and then destroy.

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Private

**SECONDARY DESIGNATION(S):**

Controlled. 42 CFR 482-24 (1990)

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82059

3

**TITLE:** Diet card files

**DATES:** 1984-

**ARRANGEMENT:** Alphabetical by patient surname

**ANNUAL ACCUMULATION:** 0.30 cubic feet.

**DESCRIPTION:**

This is a record of the patient's diet kept near the serving area. The server can refer to this record as needed in order to give the patient the proper diet. This series is updated as needed. It includes the patient name, diet ordered and the unit.

**RETENTION:**

Retain until superseded or for 0

**DISPOSITION:**

Destroy.

**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 until diet is changed or patient is discharged and then destroy.

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Controlled

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital

**SERIES:** 9886

3

**TITLE:** Discharge/Transfer Notification

**DATES:** 1988-

**ARRANGEMENT:** Chronological.

**ANNUAL ACCUMULATION:** 0.50 cubic feet.

**DESCRIPTION:**

This series includes notification of transfer to a different unit or discharge from treatment to applicable departments. This data is duplicated in the individual patient's medical case file. Information includes the patient's name, admission date, discharge date, discharge type, county released to, to whom the patient was released, patient's residential address and referral for follow up.

**RETENTION:**

Retain for 1 month(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Transitory tracking records, GRS-1720.

**AUTHORIZED:** 03-09-2021

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 month and then destroy.

Computer data files: Retain in Office for 1 month and then delete.

**APPRAISAL:**

These records have administrative value(s).

This disposition is based on the needs expressed by the agency.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 9886

**TITLE:** Discharge/Transfer Notification

(continued)

**PRIMARY DESIGNATION:**

Controlled                      Utah Code 63G-2-304(2008)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 02/2021.



**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 9947

1

**TITLE:** Disclosure tracking

**DATES:** 1989-

**ARRANGEMENT:** Chronological by date of disclosure

**ANNUAL ACCUMULATION:** 0.30 cubic feet.

**DESCRIPTION:**

These records are used to document disclosures of medical records from State Hospital patient files, as required by the Health Insurance Portability and Accountability Act (HIPAA). The agency records what information is sent and to whom, and under what authorization, in order to provide a list of disclosures to patients upon request. The records include the date the request was received, date of record disclosure, patient's name, requesting person and/or agency, means of transmission, content of the information sent, and reason for disclosure.

**RETENTION:**

Retain for 6 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 6 years and then destroy.

Computer data files: Retain in Office for 6 years and then delete.

**APPRAISAL:**

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

This disposition is in accordance with the Health Insurance Portability and Accountability Act (HIPAA), per Federal Code 45, 164.530(j)(2) 2011.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 9947

**TITLE:** Disclosure tracking

(continued)

**PRIMARY DESIGNATION:**

Exempt

Utah Code 63G-2-107 (2008)

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 24184

3

**TITLE:** Employee health records

**DATES:** ca. 1982-

**ARRANGEMENT:** Alphabetical by last name.

**ANNUAL ACCUMULATION:** 12.00 cubic feet.

**DESCRIPTION:**

These records contain health record information about employees of the State Hospital. Information includes Tuberculosis (TB) testing, immunization status, reports of lab tests on employees, reports of injuries to employees involving possible exposure to blood borne pathogens, and chest x-ray reports on employees. These records are maintained separately from employee personnel files.

**RETENTION:**

Retain for 7 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Employee health and medical records, GRS-1968.

**AUTHORIZED:** 11-24-2020

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 7 years and then destroy.

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Private Utah Code 63G-2-302(1)(b)(2020)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 02/2021.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 84885

3

**TITLE:** Ethics Committee meeting records

**DATES:** 1999-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

The Ethics Committee reviews ethical and patient rights issues related to patient care such as patient abuse, religious issues, and Do Not Resuscitate (DNR) policy and procedure. Meeting minutes document the recommendations and decisions made, and include meeting agendas, approved meeting minutes and all supplemental materials used for discussion, which may include patient medical records.

**RETENTION:**

Permanent. Retain for 5 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Executive internal committee records, GRS-1726.

**AUTHORIZED:** 12-01-2015

**FORMAT MANAGEMENT:**

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

Computer data files: Retain in Office for 5 years and then delete.

**APPRAISAL:**

These records have administrative, and/or historical value(s).  
Records provide a historical understanding of the major patient and human rights issues faced by the agency.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital  
**SERIES:** 84885  
**TITLE:** Ethics Committee meeting records

(continued)

**PRIMARY DESIGNATION:**

Exempt 45 CFR 164(C & E)(2016)

**SECONDARY DESIGNATION(S):**

Controlled. Utah Code 63G-2-304(2008)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 04/2016.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 26133

3

**TITLE:** Executive Staff meeting records

**DATES:** 1993-

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

**ANNUAL ACCUMULATION:** 0.10 cubic feet.

**DESCRIPTION:**

These records document the Executive Staff's oversight of the hospital. The Executive Staff discusses the care and treatment of patients, risk management, human resources, safety (clinical and physical), budget, and the approval of hospital policies. Records include agendas, approved meeting minutes, and all supplemental materials used for discussion, which may include patient medical records.

**RETENTION:**

Permanent. Retain for 5 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Executive internal committee records, GRS-1726.

**AUTHORIZED:** 12-01-2015

**FORMAT MANAGEMENT:**

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

Computer data files: Retain in Office for 5 years and then delete.

**APPRAISAL:**

These records have administrative, and/or historical value(s). Records provide a historical understanding of the executive oversight of the State Hospital.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital  
**SERIES:** 26133  
**TITLE:** Executive Staff meeting records

(continued)

**PRIMARY DESIGNATION:**

Public

**SECONDARY DESIGNATION(S):**

Exempt. 45 CFR 164(C & E)(2016)  
Controlled. Utah Code 63G-2-304(2008)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 04/2016.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital

**SERIES:** 25023

3

**TITLE:** Extracted records of closed patient case files

**DATES:** 1996-

**ARRANGEMENT:** Alphabetical by patient name.

**ANNUAL ACCUMULATION:** 22.00 cubic feet.

**DESCRIPTION:**

These are documents removed from the patient case records (see record series 8642) after the retention for that records series is completed. Included are legal commitment papers, court orders, discharge and/or death summaries, patient assessments, and competency reviews.

**RETENTION:**

Permanent. Retain for 85 year(s) after separation or for 97 year(s) after date of birth

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 07/2003

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 10 years after discharge or patient reaches age 22 (majority +4) and then transfer to State Records Center provided records have been imaged and are being retained in office database. Retain in State Records Center for 75 years and then transfer to State Archives with authority to weed.

Computer data files: Retain in Office until administrative need ends and then transfer to State Archives with authority to weed.

**APPRAISAL:**

These records have administrative, historical, and/or legal value(s). This disposition is based upon Utah Administrative Code R432-100-34. Medical Records (4)(b-d) (2017), which states, "(b) Records of discharged patients shall be collected, assembled, reviewed for completeness, and authenticated within 30 days of the patient's discharge. (c) Medical records shall be retained



**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 25023

**TITLE:** Extracted records of closed patient case files

(continued)

for at least seven years. Medical records of minors shall be kept until the age of eighteen plus four years, but in no case less than seven years. (d) The Hospital may destroy medical records after retaining them for the minimum time period. Prior to destroying medical records, the hospital must notify the public by publishing a notice in a newspaper of statewide distribution a minimum of once a week for three consecutive weeks to allow a former patient to access the patient's records. (e) The hospital shall permanently retain a master patient/person index that shall include: (i) the patient name; (ii) the medical record number; (iii) the date of birth; (iv) the admission and discharge dates; and (v) the name of each attending physician."

**PRIMARY DESIGNATION:**

Exempt                      Utah Code 63G-2-107(1)(b) (2016); 45 CFR 160 & 164 (2008), Standards for Privacy of Individually Identifiable Health Information; and the Health Insurance Portability and Accountability Act (HIPAA) of 1996 (P.L.104-191).

**SECONDARY DESIGNATION(S):**

Controlled.                Utah Code 63G-2-304 (2008). Medical, psychiatric and psychological data.  
Private.                      Utah Code 63G-2-302(1)(b) and (2)(d) (2019).

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 08/2021.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital

**SERIES:** 20933

3

**TITLE:** Financial Information Network (FI-NET) payment records

**DATES:** 1985-

**ARRANGEMENT:** Alphabetical by company name

**DESCRIPTION:**

This series contains records processed through the state accounting system that document the expenditure of cash and the appropriate supporting information. Includes payment invoices, purchasing records, and travel reimbursements. May contain cash receipts; fixed assets; cost reports; patient banking records; and Social Security, veterans, rail road, medical, and office of recovery services payments.

**RETENTION:**

Retain for 7 year(s) after case is closed

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule State government accounts payable and receivable records, GRS-1854.

**AUTHORIZED:** 02-11-2019

**FORMAT MANAGEMENT:**

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

**APPRAISAL:**

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

This disposition is based on Utah General Retention Schedule, 1997, Schedule 7, Item 54, which specifies that these records be retained for 7 years.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 20933

**TITLE:** Financial Information Network (FI-NET) payment records

(continued)

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital

**SERIES:** 26134

3

**TITLE:** Governing Body meeting records

**DATES:** 1993-

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

**ANNUAL ACCUMULATION:** 0.10 cubic feet.

**DESCRIPTION:**

The Governing Body is responsible for the oversight of the Utah State Hospital, which includes assisting with institutional planning and approving hospital policies, monitoring treatment services and resource allocations, appointing medical staff members and approving their activities, overseeing safety and risk management, and participating in the Joint Commission survey process. Minutes document committee discussions, resolutions or recommendations made, and contain meeting agendas, approved meeting minutes, and all supplemental materials used for discussion, which may include patient medical records.

**RETENTION:**

Permanent. Retain for 5 year(s)

**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:**

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

Computer data files: Retain in Office for 5 years and then delete.

**APPRAISAL:**

These records have administrative, and/or historical value(s). Records provide an historical understanding of the executive oversight of the State Hospital.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 26134

**TITLE:** Governing Body meeting records

(continued)

**PRIMARY DESIGNATION:**

Public

**SECONDARY DESIGNATION(S):**

Exempt. 45 CFR 164(C & E)(2016)  
Controlled. Utah Code 63G-2-304(2008)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 04/2016.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital

**SERIES:** 28469

3

**TITLE:** Hospital History Records

**DATES:** 1885-

**ARRANGEMENT:** chronological

**DESCRIPTION:**

These records have been gathered by a hospital employee seeking to preserve the history of the State Hospital. Included are photographs, correspondence, patient and staff newsletters, newspaper articles, building information including dedications, ribbon cuttings and other events. They may include patient names and other personal identifiers.

**RETENTION:**

Permanent. Retain for 10 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Agency history records, GRS-1723.

**AUTHORIZED:** 11-28-2018

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 10 years and then transfer to State Archives.

**APPRAISAL:**

These records have historical value(s).

These are records gathered by an employee dating back to 1885.

The age of the records and records related to the State Hospital have a high historical and research value.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 28469

**TITLE:** Hospital History Records

(continued)

**PRIMARY DESIGNATION:**

Private

**SECONDARY DESIGNATION(S):**

Controlled

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital

**SERIES:** 6012

3

**TITLE:** Infection Control Committee meeting records

**DATES:** 1983-

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

The Infection Control Committee establishes infection control measures and procedures for discovering and reporting infections for the agency. Records document the creation of policies established to investigate, control, and prevent infections in the hospital and include meeting agendas, approved meeting minutes, and all supplemental materials.

**RETENTION:**

Permanent. Retain for 5 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Executive internal committee records, GRS-1726.

**AUTHORIZED:** 12-01-2015

**FORMAT MANAGEMENT:**

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

Computer data files: Retain in Office for 5 years and then delete.

**APPRAISAL:**

These records have administrative, and/or historical value(s). Records provide an historical understanding of the executive oversight of the State Hospital



**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 6012

**TITLE:** Infection Control Committee meeting records

(continued)

**PRIMARY DESIGNATION:**

Private Utah Code 63G-2-302(1)(b) and (2)(d)(2018)

**SECONDARY DESIGNATION(S):**

Protected. Utah Code 63G-2-305(12)(2018)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 04/2016.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82075

3

**TITLE:** Infection control reports

**DATES:** 1985-

**ARRANGEMENT:** Alphabetical by unit, thereunder chronological

**DESCRIPTION:**

This is a record of the infection control forms used as a cross referencing tool to assure the proper antibiotic usage and resolution of infection by the unit nurse. This series is used to ensure that the proper reporting procedures are followed, establish trends, provide research for the improvement of patient care, and prepare the Quality Assurance Report. When a problem is found to be ongoing, the findings are taken to infection control committee for conclusions, recommendations, and action. This series includes the number of infections treated each month, type of infection, unit where incident is occurring, infections treated without a culture, type of culture taken, the date, results, treatment ordered, patient's name, number of normal cultures, related notes, and signature of the physician and or nurse.

**RETENTION:**

Retain for 5 year(s)

**DISPOSITION:**

Destroy.

**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 5 years and then destroy.

**APPRAISAL:**

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

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82075

**TITLE:** Infection control reports

(continued)

**PRIMARY DESIGNATION:**

Private

**SECONDARY DESIGNATION(S):**

Controlled. 42 CFR 456.113 (1990), and 42 CFR 482.24 (1990)

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital

**SERIES:** 82177

3

**TITLE:** Kitchen daily production sheets

**DATES:** 1985-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 2.50 cubic feet.

**DESCRIPTION:**

This is a record of all the food items served, the size of the portions, and the total amount served per item. This record is broken down by meal category (breakfast, lunch, supper), and is used to compile the final report sent to the Federal Government (Child Nutrition Program, and National School Lunch Program).

**RETENTION:**

Retain for 3 year(s) after completion of publication or report

**DISPOSITION:**

Destroy.

**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 3 years after date of submission of final report or until all audits are completed and then destroy provided no issues have been raised.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s). Retention is based on 7 CFR 210.23c.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82177

**TITLE:** Kitchen daily production sheets

(continued)

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital

**SERIES:** 26129

3

**TITLE:** Medical Executive Committee Leadership Group meeting records

**DATES:** 1997-

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

**ANNUAL ACCUMULATION:** 0.10 cubic feet.

**DESCRIPTION:**

The Medical Executive Committee Leadership Group is charged with oversight of the care, treatment, and services provided by the medical staff, including practitioners with privileges. Minutes document discussions of proposed revisions to the Medical Staff Bylaws and updates to hospital policies and procedures, as well as discussions about applicants for medical staff membership and/or clinical privileges. In addition to the approved minutes, records include recommendations from the Performance Improvement Council, meeting agendas, and all supplemental materials used for discussion, which may contain patient medical information.

**RETENTION:**

Permanent. Retain for 5 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Executive internal committee records, GRS-1726.

**AUTHORIZED:** 12-01-2015

**FORMAT MANAGEMENT:**

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

Computer data files: Retain in Office for 5 years and then delete.

**APPRAISAL:**

These records have administrative, and/or historical value(s). Records provide an historical understanding of the executive oversight of the Utah State Hospital.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 26129

**TITLE:** Medical Executive Committee Leadership Group meeting records

(continued)

**PRIMARY DESIGNATION:**

Public

**SECONDARY DESIGNATION(S):**

Exempt. 45 CFR 164(C & E)(2016)  
Controlled. Utah Code 63G-2-304(2008)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 04/2016.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 26130

3

**TITLE:** Medical Executive Committee meeting records

**DATES:** 1998-

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

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

These records document the Medical Executive Committee's oversight of the safety and quality of care for hospital patients. Minutes document the Committee's review of reports and activities of the medical staff committees, departments, and other assigned activity groups. Records include agendas, approved meeting minutes, and all supplemental materials, which may include patient information.

**RETENTION:**

Permanent. Retain for 5 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Executive internal committee records, GRS-1726.

**AUTHORIZED:** 12-01-2015

**FORMAT MANAGEMENT:**

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

Computer data files: Retain in Office for 5 years and then delete.

**APPRAISAL:**

These records have administrative, and/or historical value(s). Records provide an historical understanding of the executive oversight of the State Hospital.



**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 26130

**TITLE:** Medical Executive Committee meeting records

(continued)

**PRIMARY DESIGNATION:**

Public

**SECONDARY DESIGNATION(S):**

Exempt. 45 CFR 164(C & E)(2016)  
Controlled. Utah Code 63G-2-304(2008)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 04/2016.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 27269

3

**TITLE:** Newsletter

**DATES:** 2000-

**ARRANGEMENT:** Chronologically by date of publication

**DESCRIPTION:**

The Utah State Hospital Newsletter is a newsletter written for employees. Information is collected regarding hospital issues such as programs in which employees participate, facilities information, historical information, recognition of employees, announcements, etc.

**RETENTION:**

Retain permanently

**DISPOSITION:**

May 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 permanently.

**APPRAISAL:**

These records have historical value(s).  
Newsletters contain information about hospital facilities, employees and activities.

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82217

3

**TITLE:** Nursing acuity report

**DATES:** 1987-

**ARRANGEMENT:** Numerical by unit, thereunder chronological.

**ANNUAL ACCUMULATION:** 1.50 cubic feet.

**DESCRIPTION:**

This is a record of the number of staff who were on duty during a 24 hour time period. It records the type of patient care needed and how long it took to administer the care. The series includes the type of physical care given, patient totals and the number of staff members per shift (RN's, LPN's, and Psychiatric Technicians) on the unit. The report is sent to the Nursing Administration Office daily by unit nursing staff.

**RETENTION:**

Retain for 3 year(s) after completion of publication or report

**DISPOSITION:**

Destroy.

**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 3 years after date of report and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).  
Retention is based on 45 CFR 74.20.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82217

**TITLE:** Nursing acuity report

(continued)

**PRIMARY DESIGNATION:**

Controlled Utah Code 63G-2-304 (2008)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 02/2021.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 25518

3

**TITLE:** Occupational Therapy Raw Test Data

**DATES:** 1994-

**ARRANGEMENT:** Alphabetical by client last name.

**ANNUAL ACCUMULATION:** 4.00 cubic feet.

**DESCRIPTION:**

This is raw data collected during testing/assessment of patients for occupational therapy. The assessments consist of various tests and activities, including making craft projects that need to be saved for comparison since many patients have several admissions. The assigned therapist submits comments and observations in the documentation accompanying each craft project. The Occupational Therapy Department is collecting samples of the Allen Cognitive Levels of function assessments for staff training purposes. Data from the assessments is used for research projects addressing issues of cognitive level of function ability and length of stay, recidivism, and improved discharge planning in community placement. Information includes patient name, dates of data collection and assessment, and therapist comments and observations.

**RETENTION:**

Retain for 10 year(s) after separation

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 09/2004

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 10 years after after discharge of patient and then destroy.

Digital Versatile Disk - Read Only: Retain in Office for 10 years after discharge of patient and then destroy.

Artifacts: Retain in Office for 10 years after discharge of patient and then destroy.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 25518

**TITLE:** Occupational Therapy Raw Test Data

(continued)

CD-ROM: Retain in Office for 10 years after discharge of patient  
and then destroy.

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Controlled UCA 63G-2-202(2)(2008).

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 8642

3

**TITLE:** Patient case records

**DATES:** 1885-

**ARRANGEMENT:** Numerical by patient identification number.

**ANNUAL ACCUMULATION:** 40.00 cubic feet.

**DESCRIPTION:**

These records provide complete documentation of the diagnosis and treatment of individuals confined to the Utah State Hospital. Information includes treatment plans; physical and psychological examinations; discharge summaries; psychiatric, social history, nursing, nutritional and recreational assessments; vocational rehabilitation assessments; dental examinations, etc. May also contain legal commitment papers, court orders and neurological consultations. When retention is completed certain records (see records series 25023) are scanned and maintained permanently. Documentation relating to client or patient medical information. Includes physical, psychiatric, dental, pharmaceutical, medical history, treatments, notes, reports, forms, memorandums, examinations, physical therapy, assessments, and all other related materials.

**RETENTION:**

Permanent. Retain for 85 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 12/1992

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 10 years after adult patient is discharged or until discharged juvenile reaches 18 plus 4 years and then transfer to State Records Center. Retain in State Records Center for 75 years and then transfer to State Archives.

Microfilm master: For records prior to and including 1995. Retain in State Archives permanently.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 8642

**TITLE:** Patient case records

(continued)

Microfilm duplicate: Retain in Office until records have met retention and then transfer to State Archives.

Computer data files: Retain in Office permanently.

**APPRAISAL:**

These records have administrative, and/or historical value(s). This disposition is based upon Utah Administrative Code R432-100-34. Medical Records (4)(b-d) (2017), which states, "(b) Records of discharged patients shall be collected, assembled, reviewed for completeness, and authenticated within 30 days of the patient's discharge. (c) Medical records shall be retained for at least seven years. Medical records of minors shall be kept until the age of eighteen plus four years, but in no case less than seven years. (d) The Hospital may destroy medical records after retaining them for the minimum time period. Prior to destroying medical records, the hospital must notify the public by publishing a notice in a newspaper of statewide distribution a minimum of once a week for three consecutive weeks to allow a former patient to access the patient's records. (e) The hospital shall permanently retain a master patient/person index that shall include: (i) the patient name; (ii) the medical record number; (iii) the date of birth; (iv) the admission and discharge dates; and (v) the name of each attending physician."

**PRIMARY DESIGNATION:**

Exempt                      Utah Code 63G-2-107(1)(b) (2016); 45 CFR 160 & 164 (2008).

**SECONDARY DESIGNATION(S):**

Controlled.                      Utah Code 63G-2-304 (2008). Medical, psychiatric and psychological data.  
Private.                              Utah Code 63G-2-302(1)(b) and (2)(d) (2019).  
Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 08/2021.



**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital

**SERIES:** 82135

3

**TITLE:** Patient electroencephalogram tracings

**DATES:** 1957-

**ARRANGEMENT:** Numerical by EEG number, thereunder chronological  
**DESCRIPTION:**

This series contains patient electroencephalogram (EEG) tracings (a linear graph of the electric current generated by the brain). The EEG is useful in detecting and localizing brain injuries and tumors, in differentiating forms of epilepsy, and detecting brain degeneration. It is used to rule out organic brain syndrome and monitor seizure activity. These records are admissible in a court of law to aid in the determination of insanity when an insanity plea has been entered. This series includes patient EEG tracings and EEG Requisition Forms that includes patient's name, date of birth, medical information, name of referring physician, and technician's comments regarding test administration. Up until 1992 this series contained only abnormal tracings, but that year the agency began keeping all tracings together in a single series.

**RETENTION:**

Retain for 7 year(s) after case is closed

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Patient and client case files, GRS-1706.

**AUTHORIZED:** 01-10-2019

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 7 years after case is closed and then destroy.

**APPRAISAL:**

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

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82135

**TITLE:** Patient electroencephalogram tracings

(continued)

**PRIMARY DESIGNATION:**

Private UCA 63G-2-302

**SECONDARY DESIGNATION(S):**

Controlled. UCA 63G-2-304

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 8648

3

**TITLE:** Patient incident summary report

**DATES:** 1985-

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

This is a monthly statistical report of all incidents which occurred at the hospital. It is used as a management tool to identify units, department staff at risk, determines patterns and trends and makes necessary changes in policy, procedures, and personnel.

This series includes a report for all incidents involving aggression, deaths and escapes, accidents, the total number of incidents, the average occupancy, the percentage of incidents per patient, the number of different patients involved in the incidents, the percentage of patients involved, the number of incidents that led to harm to staff members, the number of incidents that led to harm to other patients, the number of incidents in which patients harmed themselves, the total number of deaths, and the total number of escapes.

**RETENTION:**

Retain for 3 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 10/1986

**FORMAT MANAGEMENT:**

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

**APPRAISAL:**

These records have administrative value(s).

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 8648

**TITLE:** Patient incident summary report

(continued)

**PRIMARY DESIGNATION:**

Controlled

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82029

3

**TITLE:** Patient Kardex

**DATES:** 1985-

**ARRANGEMENT:** Alphabetical by patient surname

**ANNUAL ACCUMULATION:** 0.30 cubic feet.

**DESCRIPTION:**

This record contains selected items from the patient's medical record as part of the nursing care plan. It contains the admission date, patient number, allergies, diet, privileges and restrictions, level, pass, phone calls, visits, psychiatric and diagnoses including acute medical conditions.

**RETENTION:**

Retain until superseded

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**FORMAT MANAGEMENT:**

Paper: Retain in Office until superseded and then destroy.

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Controlled

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82050

3

**TITLE:** Patient trust accounts

**DATES:** 1983-

**ARRANGEMENT:** Alphabetical by name, thereunder numerical by social security number

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

This is a record of the amount of money received from the Social Security Administration by the hospital on behalf of the patient. The amount is noted when it comes into the office. The money is distributed to the patient by the unit supervisor. Notations are made in a log book of the items that were purchased for or by the patient. The business office does a weekly printout of this record for easy access and reference.

This series includes the unit name, balance in the patient's account, and the patient's social security number.

**RETENTION:**

Retain for 10 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 month after date of entry and then destroy provided all changes have been entered on data system.

Computer magnetic storage media: Retain in Office for 5 years after date of entry or until all audits have been completed and then transfer to Tape Library. Retain in Tape Library for 5 years and then erase.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82050

**TITLE:** Patient trust accounts

(continued)

**APPRAISAL:**

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

**PRIMARY DESIGNATION:**

Private

**SECONDARY DESIGNATION(S):**

Controlled. 42 CFR 482.24 (1990), and 42 CFR 456.113 (1990)

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital

**SERIES:** 82030

3

**TITLE:** Patient visitation request slips

**DATES:** 1973-

**ARRANGEMENT:** Chronological by date of visit

**ANNUAL ACCUMULATION:** 0.10 cubic feet.

**DESCRIPTION:**

This is a form that must be completed by the visitor when they arrive at the hospital. This slip gives the visitor access to the unit where the patient resides and gives the hospital a record of who visited each patient, as well as when and how often they visited. The records in this series include the date of visit , visitor's relationship to the patient, visitor's address and telephone number, and the patient's name and unit.

**RETENTION:**

Retain for 1 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 04/2006

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year after calendar year ends and then destroy.

**APPRAISAL:**

These records have administrative value(s).  
Appraisal based on administrative needs expressed by agency; legal value removed from appraisal at agency's request as of 10/24/05.



**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82030

**TITLE:** Patient visitation request slips

(continued)

**PRIMARY DESIGNATION:**

Private UCA 63G-2-302 (2008)

**SECONDARY DESIGNATION(S):**

Controlled. UCA 63G-2-304 (2008)

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 10302

3

**TITLE:** Patient W-4s and social security numbers records

**DATES:** 1990-

**ARRANGEMENT:** chronological

**ANNUAL ACCUMULATION:** 0.10 cubic feet.

**DESCRIPTION:**

These records document patient federal W-4 and social security numbers. Patients complete this information in order to place them on the industrial payroll at the Utah State Hospital. This is a requirement for payment for services that patients perform. Information includes name, social security number, marital status, exemptions, address, employer, and employer identification number.

**RETENTION:**

Retain for 10 year(s) after separation

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 12/1992

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 10 years or until patient is discharged and then destroy.

**APPRAISAL:**

These records have administrative value(s).  
This disposition is based on the needs expressed by the agency.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 10302

**TITLE:** Patient W-4s and social security numbers records

(continued)

**PRIMARY DESIGNATION:**

Private

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital

**SERIES:** 6009

3

**TITLE:** Pharmacy and Therapeutics Committee meeting records

**DATES:** 2000-

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

The Pharmacy and Therapeutics Committee provides oversight of patient medical treatment. Meeting minutes document the committee's discussion of issues relating to medications, and may include additions or deletions to the hospital formulary, reviews of medication error and adverse drug reaction reports, and pharmacy budget reviews. Records include meeting agendas, approved minutes, and supplemental materials used for discussion, which may contain patient information.

**RETENTION:**

Permanent. Retain for 5 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Executive internal committee records, GRS-1726.

**AUTHORIZED:** 12-01-2015

**FORMAT MANAGEMENT:**

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

Computer data files: Retain in Office for 5 years and then delete.

**APPRAISAL:**

These records have administrative, and/or historical value(s). Records in this series provide an understanding of the changes to the internal policy of the Agency regarding the pharmacy and medications.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 6009

**TITLE:** Pharmacy and Therapeutics Committee meeting records

(continued)

**PRIMARY DESIGNATION:**

Public

**SECONDARY DESIGNATION(S):**

Exempt.	45 CFR 164(C & E)(2016)
Controlled.	Utah Code 63G-2-304(2008)
Protected.	Utah Code 63G-2-305(12)(2015)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 04/2016.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital

**SERIES:** 10304

3

**TITLE:** Pharmacy inventory records

**DATES:** 1974-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

These records support the agency's administrative function to track all medication housed by the agency's pharmacy (42 CFR 423.505(d)(2012) and 21 CFR 1304.03(2000)). Records include such things as the required inventories for controlled substances, restocking orders, and audit files.

**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:** 03/2016

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 10 years and then destroy.

**APPRAISAL:**

These records have administrative value(s).

**RETENTION JUSTIFICATION:**

CFR Section 42.505(d)(2012) requires the pharmacy to maintain records relating to its services for a period of at least 10 years.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 10304

**TITLE:** Pharmacy inventory records

(continued)

**PRIMARY DESIGNATION:**

Public

**SECONDARY DESIGNATION(S):**

Protected. Utah Code 63G-2-305(12)(2015)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 03/2016.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital

**SERIES:** 10309

3

**TITLE:** Pharmacy prescription records

**DATES:** 1986-

**ARRANGEMENT:** Numerical by prescription number

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

These records support the agency's function to provide treatment for those that suffer from mental illness. Records document the prescription of pharmaceuticals for residents, and may include patient and physician information, prescription data, United States Drug Enforcement Administration (DEA) numbers, refill requests, and related records.

**RETENTION:**

Retain for 10 year(s) after separation

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 03/2016

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 10 years after separation and then destroy.

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

**APPRAISAL:**

These records have administrative value(s).

**RETENTION JUSTIFICATION:**

CFR Section 42.505(d)(2012) requires the pharmacy to maintain records relating to its services for a period of at least 10 years.



**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 10309

**TITLE:** Pharmacy prescription records

(continued)

**PRIMARY DESIGNATION:**

Exempt 45 CFR 164(e)(2016)

**SECONDARY DESIGNATION(S):**

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

Controlled. Utah Code 63G-2-304(2008)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 03/2016.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital

**SERIES:** 20329

3

**TITLE:** Physician's billing records

**DATES:** 1990-

**ARRANGEMENT:** Numerical by invoice number.

**ANNUAL ACCUMULATION:** 10.00 cubic feet.

**DESCRIPTION:**

These records document invoices for billing for services rendered by physicians employed at the Utah State Hospital. These records follow certain national standards required for Utah State Hospital's accreditation from the Joint Commission and Centers for Medicare and Medicaid Services (see 42 CFR 422.504 [d][2][iii]).

**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:** 03/2021

**FORMAT MANAGEMENT:**

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

Computer data files: For records beginning in 2018 and continuing to the present. Retain in Office for 10 years and then delete.

**APPRAISAL:**

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

**RETENTION JUSTIFICATION:**

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 20329

**TITLE:** Physician's billing records

(continued)

The 10-year retention is required by the Centers for Medicare & Medicaid Services (CMS), and may be found in 42 CFR 422.504 [d][2][iii]. The URL to the CMS newsletter stating the requirement is: <https://www.cms.gov/Outreach-and-Education/Medicare-Learning-Network-MLN/MLNMattersArticles/downloads/SE1022.pdf>. The URL to the federal code is: <https://www.ecfr.gov/cgi-bin/text-idx?node=pt42.3.422#se42.3.422> 1504

**PRIMARY DESIGNATION:**

Public

**SECONDARY DESIGNATION(S):**

Private. Utah Code 63G-2-302(1)(b) and (2)(d) (2020)  
Controlled. Utah Code 63G-2-304 (2008)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 03/2021.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 29573

1

**TITLE:** Printing plates

**DATES:** 1930-1942

**ARRANGEMENT:** None.

**DESCRIPTION:**

This series contains two printing plates used for printing images  
in hospital publications.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**FORMAT MANAGEMENT:**

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82221

3

**TITLE:** Psychological data and evaluation case files

**DATES:** 1975-

**ARRANGEMENT:** Alphabetical by patient's name

**ANNUAL ACCUMULATION:** 0.30 cubic feet.

**DESCRIPTION:**

These are psychological records of patients containing information necessary for the performance of psychological assessments. They document the condition of each patient and provide the basis of determining treatment. Files on current patients are maintained by each psychologist in office. After patients are discharged the files are maintained in a centralized area in the Medical Records Office. Included are raw testing data; test results; case notes; patient personal, psychological and medical histories; and patient interviews.

**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:** 07/2003

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 10 years and then destroy.

**APPRAISAL:**

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

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82221

**TITLE:** Psychological data and evaluation case files

(continued)

**PRIMARY DESIGNATION:**

Exempt UCA 63G-2-107 (2008); 45 CFR 160 & 164 (2008).

**SECONDARY DESIGNATION(S):**

Controlled. UCA 63-2-313 (2008).

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital

**SERIES:** 2591

3

**TITLE:** Publications

**DATES:** 1899-

**ARRANGEMENT:** Chronological.

**DESCRIPTION:**

Documents created by the agency, including pamphlets, reports, leaflets, file manuals, annual reports, other published or processed documents, and the last manuscript report, if not published, relating to management projects. Electronic versions of publications may be considered a duplicate if identical. If unique, see Schedule 1 Item 44.

**RETENTION:**

Permanent. Retain until administrative need ends

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Publications, GRS-1678.

**AUTHORIZED:** 10-30-2018

**FORMAT MANAGEMENT:**

Paper: Retain in State Archives permanently with authority to weed.

Microfiche master: Retain in State Archives permanently with authority to weed.

Microfiche duplicate: Retain in State Archives permanently with authority to weed.

**APPRAISAL:**

These records have historical value(s).

These records are significant in documenting the policies, activities, and functions of the State Hospital.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 2591

**TITLE:** Publications

(continued)

**PRIMARY DESIGNATION:**

Public



**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital

**SERIES:** 25908

3

**TITLE:** Purchasing card transaction log

**DATES:** 1990-

**ARRANGEMENT:** Alphabetical by employee surname, thereunder chronological by fiscal year.

**ANNUAL ACCUMULATION:** 3.00 cubic feet.

**DESCRIPTION:**

These records are statements of expenditures made by State Hospital employees using agency credit cards.

**RETENTION:**

Retain for 7 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule State government accounts payable and receivable records, GRS-1854.

**AUTHORIZED:** 02-11-2019

**FORMAT MANAGEMENT:**

Paper: For records prior to and including 2017. Retain in Office for 1 year after end of fiscal year and then transfer to State Records Center. Retain in State Records Center for 6 years and then destroy.

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

**APPRAISAL:**

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

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 25908

**TITLE:** Purchasing card transaction log

(continued)

**PRIMARY DESIGNATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 03/2021.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82299

3

**TITLE:** Quality assurance monitoring files

**DATES:** 1980-

**ARRANGEMENT:** Chronological by review date

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

The quality assurance program monitors and evaluates the quality and appropriateness of patient care services provided by all disciplines, units, departments, and services of the hospital; identifies problems and potential problems which have significant impact on patient care and ensures that all areas are included in the program. This is done by using the Extended Audit Tool established by USH. This monitoring and evaluation tool meets The Joint Commission of Accredited Health Care Organizational Standards and Certification approval from the Centers of Medicare and Medicaid Services. Findings of these audits are used to compile reports and to improve patient care and standard compliance.

**RETENTION:**

Retain for 3 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 11/2011

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 3 years after date of review and then destroy.

Computer data files: Retain in Office for 3 years after date of review and then delete.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82299

**TITLE:** Quality assurance monitoring files

(continued)

**APPRAISAL:**

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

**PRIMARY DESIGNATION:**

Private

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 10306

3

**TITLE:** Risk management reports

**DATES:** 1992-

**ARRANGEMENT:** chronological

**ANNUAL ACCUMULATION:** 0.40 cubic feet.

**DESCRIPTION:**

These reports document investigations of patient and/or staff related incidents such as elopements, patient injuries, staff injuries, incidents of aggression, seclusion, restraint, medical emergencies, fatalities, and so on. Some reports include hospital related incidents where emergency plans are implemented such as flood, loss of power, and so on.

**RETENTION:**

Retain for 7 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 12/1992

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 7 years and then destroy.

**APPRAISAL:**

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

**PRIMARY DESIGNATION:**

Protected UCA 63G-2-305(9)(b)

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital

**SERIES:** 6010

3

**TITLE:** Safety and Inspection Committee meeting records

**DATES:** 1983-

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

The Safety and Inspection Committee is responsible to ensure that the agency meets the requirements established by the Life Safety Code of the National Fire Protection Association. Meeting minutes document the process of establishing policies for the proper storage and disposal of trash, and the development and maintenance of fire control plans and inspections. Records include meeting agendas, approved meeting minutes and all supplemental materials used for discussion.

**RETENTION:**

Permanent. Retain for 5 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Executive internal committee records, GRS-1726.

**AUTHORIZED:** 12-01-2015

**FORMAT MANAGEMENT:**

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

Computer data files: Retain in Office for 5 years and then delete.

**APPRAISAL:**

These records have administrative, and/or historical value(s). Records in this series provide an understanding of the changes to the internal policy of the Agency regarding the pharmacy and medications.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 6010

**TITLE:** Safety and Inspection Committee meeting records

(continued)

**PRIMARY DESIGNATION:**

Public

**SECONDARY DESIGNATION(S):**

Protected. Utah Code 63G-2-305(12)(2015)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 04/2016.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82180

3

**TITLE:** Safety Check Sheet

**DATES:** 1987-

**ARRANGEMENT:** Chronological.

**ANNUAL ACCUMULATION:** 3.00 cubic feet.

**DESCRIPTION:**

This record is generated daily and shows the status of each patient on the unit. This form is used to track 15 minute checks conducted on every patient through the 24 hour period. The record includes patient names, hospital number, status, leave, etc.

**RETENTION:**

Retain for 2 month(s) after completion of publication or report

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Transitory tracking records, GRS-1720.

**AUTHORIZED:** 03-09-2021

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 months after date of report and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).  
This record is required by the Joint Commission of Accredited Hospitals (JCAH).

**PRIMARY DESIGNATION:**

Controlled Utah Code 63G-2-304(2008)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 02/2021.



**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82073

3

**TITLE:** Safety inspection checklist

**DATES:** 1986-

**ARRANGEMENT:** Chronological by date of checklist

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

This is a inspection checklist completed on a monthly basis. This ensures that the area meets the requirements for safety and cleanliness throughout the hospital facility. When an area is found to be unsatisfactory, measures are taken to correct the problems as soon as possible. The hospital must meet the standards in order to be certified by the Joint Commission of Accredited Hospitals (JCAH). This series includes observations concerning fire safety, general safety, and the environment. The records also include identified problem areas, comments, corrections made as a result of last inspection, unsafe existing conditions from last inspection, and signature of inspector.

**RETENTION:**

Retain for 3 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 04/2006

**FORMAT MANAGEMENT:**

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

**APPRAISAL:**

These records have administrative value(s).

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82073

**TITLE:** Safety inspection checklist

(continued)

**PRIMARY DESIGNATION:**

Private

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 27342

1

**TITLE:** Satisfaction questionnaire summaries

**DATES:** 2000-

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

These records summarize the findings of surveys conducted by the hospital and are used to plan employee performance and patient services improvements.

**RETENTION:**

Retain permanently

**DISPOSITION:**

May Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**FORMAT MANAGEMENT:**

Paper: Retain in Office permanently.

**APPRAISAL:**

These records have administrative, and/or historical value(s).  
The survey results and plans for improvement are historical evidence of the hospital's intent to improve employee performance and patient services.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital

**SERIES:** 27341

1

**TITLE:** Satisfaction questionnaires

**DATES:** 2000-

**ARRANGEMENT:** Chronological by date of survey

**DESCRIPTION:**

These records are surveys conducted by Utah State Hospital for the purpose of collecting information to improve relations between the hospital and employees, patients, and families of patients. Information gained through the survey is used to improve services. Information includes the survey questions and answers received.

**RETENTION:**

Retain for 5 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**FORMAT MANAGEMENT:**

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

**APPRAISAL:**

These records have administrative value(s).

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 8646

3

**TITLE:** Shift Supervising RN Report

**DATES:** 1986-

**ARRANGEMENT:** Chronological.

**DESCRIPTION:**

This is a record documenting activities which occurred during each shift. This record is used to pass information along from one shift to another. The report includes a record of events in the hospital by date and time, a description of the incident and the names of the individuals involved.

**RETENTION:**

Retain for 1 day(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 day and then destroy.

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Controlled Utah Code 63G-2-304 (2008)

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82071

3

**TITLE:** Sterile supply and equipment list

**DATES:** 1986-

**ARRANGEMENT:** chronological

**ANNUAL ACCUMULATION:** 0.20 cubic feet.

**DESCRIPTION:**

This is a record of all the sterile supplies and equipment distributed by the infection supply nurse. This list serves as an order and inventory control form for materials. Supplies are distributed to all units upon request.

**RETENTION:**

Retain for 3 year(s)

**DISPOSITION:**

Destroy.

**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 3 years or until all audits are complete and then destroy.

**APPRAISAL:**

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

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82078

3

**TITLE:** Sterilization record

**DATES:** 1987-

**ARRANGEMENT:** chronological

**DESCRIPTION:**

This is a record of all items that have been sterilized at the hospital. Control strips are enclosed with each batch of items. When a test strip does not register in the pass area, then the items are resterilized. An autoclave Recording Instrument chart is used on the outside of the machine to ensure that the proper temperature was met during the process. The biological test strips are used to document the kill rate of bacteria. When live bacteria are noted to be present, then the strips are sent to the lab to test for a growth rate seven days after the test was completed. All parts of this series are used to prove that the machine is operating under proper standards.

This series includes the temperature, time of the batch, pressure reached, and type of sterilization used.

**RETENTION:**

Retain for 5 year(s)

**DISPOSITION:**

Destroy.

**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 5 years after date of sterilization and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s). Retention is comparable to the Florida Records Schedule for Hospital Records E-1 Item 2.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82078

**TITLE:** Sterilization record

(continued)

**PRIMARY DESIGNATION:**

Public



**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 25846

3

**TITLE:** Suggestion and concern forms

**DATES:** 1990-

**ARRANGEMENT:** Chronological by date

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

These are suggestion and concern forms regularly submitted by staff or patients. The information contained in the completed forms is reviewed by the Suggestion/Concern Committee and referred to the appropriate personnel for follow-up. Many of the forms include private patient information.

**RETENTION:**

Retain for 1 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 11/2005

**FORMAT MANAGEMENT:**

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

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Private UCA 63G-2-302 (2008) Patient information

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 25846

**TITLE:** Suggestion and concern forms

(continued)

**SECONDARY DESIGNATION(S):**

Public

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 6016

3

**TITLE:** Survey reports

**DATES:** 1980-

**ARRANGEMENT:** Chronological.

**DESCRIPTION:**

These are surveys conducted by The Joint Commission on Accreditation of Hospitals and the Centers for Medicare and Medicaid Services to ensure that the hospital is meeting all of the requirements for participation in Medicare/Medicaid. Information includes: the date of the survey, the names of the surveyors, the name and address of the hospital, the department or departments surveyed, the results of the survey, statement of compliance with federal conditions, a statement of deficiencies (if any), and a plan of correction, if necessary.

**RETENTION:**

Retain permanently

**DISPOSITION:**

May Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Audit records, GRS-1727.

**AUTHORIZED:** 10-23-2019

**FORMAT MANAGEMENT:**

Paper: Retain in Office until administrative value has been met and then transfer to State Records Center. Retain in State Records Center for 10 years and then transfer to State Archives with authority to weed.

**APPRAISAL:**

These records have administrative value(s).  
These records are historical because they contribute substantially to knowledge and understanding of the people and communities of our state.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 6016

**TITLE:** Survey reports

(continued)

**PRIMARY DESIGNATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 03/2021.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82301

3

**TITLE:** System specific study files

**DATES:** 1978-

**ARRANGEMENT:** Alphabetical by subject, thereunder chronological

**DESCRIPTION:**

This series is comprised of various topographical research project reports related to hospital care and treatment. The research is aimed at efficiency and effectiveness to provide a better quality of treatment, patient management, a measurement of quality of services, to define the scope of the services, function and system assessment of the daily living skills, coping skills, and of achievements and maintenance outside the hospital setting. This series defines clinical goals and objectives, and changes in follow-up services.

Personal case information on the patient is input into the system. Information is also pulled off of the Utah Social Service Data System (USSDS).

The output information contains little if any personal patient information.

This series includes tables, and graphs. It is currently divided into 12 parts. Statistical and Development and Reporting; Utah State Hospital Allocation; Statewide Community Bed Availability; Description and Evaluation of Day Treatment Programs; Mathematical Modeling; Longitudinal Evaluation of Service; Planned Scheduled Treatment; Patient Specific Study; Estimating the Impact on Changes Regarding Medicare; Planning and Consultation; and Deployment and Budget.

**RETENTION:**

Permanent. Retain for 3 year(s)

**DISPOSITION:**

Transfer to Archives.

**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 end of the year and

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital  
**SERIES:** 82301  
**TITLE:** System specific study files

(continued)

then transfer to State Records Center. Retain in State Records Center for 1 year and then transfer to State Archives with authority to weed.

**APPRAISAL:**

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

**PRIMARY DESIGNATION:**

Private                      all output information not related to the patient

**SECONDARY DESIGNATION(S):**

Controlled.                      all input information pertaining to the patient

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 27270

3

**TITLE:** The Voice

**DATES:** 2000-

**ARRANGEMENT:** Chronological by date of publication

**DESCRIPTION:**

"The Voice" is a newsletter written by patients at the Utah State Hospital for the patients at the hospital. Information in the newsletter includes poetry, games, recipes, recognition to employees or patients, art work, and information from consumer council. The newsletter is published as information is gathered from patients. Members of consumer council gather articles for submission from their unit.

**RETENTION:**

Retain permanently

**DISPOSITION:**

May 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 permanently.

**APPRAISAL:**

These records have historical value(s).

The Voice contains a history of patient activities and contributions to the newsletter.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 27270

**TITLE:** The Voice

(continued)

**PRIMARY DESIGNATION:**

Public



**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82069

3

**TITLE:** Trip plan files

**DATES:** 1986-

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

This is a record of the justification for a patient trip. Justification is sent to administration for approval. Trips are taken in order to improve patient skills and functions. All evaluations about the patient are placed in his chart. This series includes all information related to the trip, number of staff and patients attending, a list of the goals and objectives the staff members would like to see achieved for each patient, and the evaluation of the goals and objectives upon return.

**RETENTION:**

Retain for 1 year(s)

**DISPOSITION:**

Destroy.

**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 until date of evaluation and then transfer to patient's medical record.

Paper: Retain in Office for 1 year after date of approval or until administrative value has been met and then destroy.

**APPRAISAL:**

These records have administrative value(s).

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82069

**TITLE:** Trip plan files

(continued)

**PRIMARY DESIGNATION:**

Private

**SECONDARY DESIGNATION(S):**

Controlled

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82027

1

**TITLE:** Unit orientation/training files

**DATES:** 1986-

**ARRANGEMENT:** alphabetical by employee's name

**ANNUAL ACCUMULATION:** 0.10 cubic feet.

**DESCRIPTION:**

This series contains worksheets used by the supervisor on a work unit to document employee completion of required training. Content includes a variety of topics and procedures that address care and treatment of the mentally ill. This record is used as an indicator of successful training and notes areas of weakness in which more training may be needed. These documents are maintained by the supervisor.

**RETENTION:**

Retain until separation

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**FORMAT MANAGEMENT:**

Paper: Retain in Office until employee is transferred or terminates and then destroy.

**APPRAISAL:**

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

**PRIMARY DESIGNATION:**

Private

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health. State Hospital

**SERIES:** 82024

3

**TITLE:** Untoward outcome of medication or treatment case files

**DATES:** 1984-

**ARRANGEMENT:** Alphabetical by unit, thereunder chronological

**ANNUAL ACCUMULATION:** 0.10 cubic feet.

**DESCRIPTION:**

This is a record of untoward effect of medication. It is an administrative tool used to ensure the proper care and treatment of the patient. This report is used to compile the Quality Assurance report (sent to all hospital staff), determine trends or patterns, and improve and maintain quality patient care. This series includes the patient's name, the medication effect, the time, the unit, a description of the events, the name of a staff witness, and a follow up report and action taken.

**RETENTION:**

Retain for 7 year(s) after completion of publication or report

**DISPOSITION:**

Destroy.

**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 7 years after date of report and then destroy.

**APPRAISAL:**

These records have administrative, fiscal, and/or legal value(s). Retention is comparable to Florida Retention for Hospital Records E-1 Item 89.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82024

**TITLE:** Untoward outcome of medication or treatment case files

(continued)

**PRIMARY DESIGNATION:**

Controlled

UCA 63G-2-304(2008)

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82298

3

**TITLE:** Utilization Review admissions and continued stay files

**DATES:** 1981-

**ARRANGEMENT:** chronological by review date

**ANNUAL ACCUMULATION:** 2.00 cubic feet.

**DESCRIPTION:**

This series contains documentation of reviews completed by the Utilization Review nurse for determination of and justification for continued hospitalization of individual patients. The series is maintained by the Utilization Review office. Information in the series includes patient hospital number, admitting status, psychiatric diagnoses, referring agency, attending physician, reviews (admission, continued stay, and second step), status, admission date, screening steps and determinations, and comments. The records in this series are used to compile an annual report, but this series does not include the final report.

**RETENTION:**

Retain for 1 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 11/2011

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year after date of review and then destroy.

Computer data files: Retain in Office for 1 year after date of review and then delete.

**APPRAISAL:**

These records have administrative value(s).

This record is required by the Joint Commission of Accredited Hospitals and 42 CFR 466.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 82298

**TITLE:** Utilization Review admissions and continued stay files

(continued)

**PRIMARY DESIGNATION:**

Exempt 42 CFR 456.213 (2008), 42 CFR 456.113 (2008), 42 CFR 482.24 (2008), and  
UCA 62A-12-247 (1990)

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 85090

3

**TITLE:** Utilization review forms

**DATES:** 1981-

**ARRANGEMENT:** Chronological by date of review or report

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

These records document review of patient records for quality, utilization, and staff compliance to various regulations as well as tracking of follow-up reviews. Information includes patient name, hospital number, admission status, type of review status, date of admission, summary of findings and date of next review.

**RETENTION:**

Retain for 5 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 08/1999

**FORMAT MANAGEMENT:**

Computer data files: Retain in Office for 5 years after date of review and then delete.

Paper: Retain in Office for 6 months and then destroy.

**APPRAISAL:**

These records have administrative value(s).

This record is required by the Joint Commission of accredited Hospitals and 42 CFR 466.



**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health.  
State Hospital

**SERIES:** 85090

**TITLE:** Utilization review forms

(continued)

**PRIMARY DESIGNATION:**

Private UCA 63G-2-302(1)(b),(f),(h)

**SECONDARY DESIGNATION(S):**

Controlled. UCA 63G-2-304  
Protected. UCA 63G-2-305(48)