

Retention and Classification Report

Agency: Department of Health and Human Services. Utah Public Health Laboratory.
Newborn Screening (1390)
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Records Officer: _____

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AGENCY: Department of Health and Human Services. Utah Public Health Laboratory. Newborn Screening

SERIES: 82252

3

TITLE: Accounts receivable invoices

DATES: undated.

ARRANGEMENT: none

DESCRIPTION:

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 12/1987

FORMAT MANAGEMENT:

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

APPRAISAL:

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

Based on General Retention Schedule 6 Item 6.

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 04/2017.

AGENCY: Department of Health and Human Services. Utah Public Health Laboratory. Newborn Screening

SERIES: 21951

3

TITLE: Case management data files

DATES: 1982.

ARRANGEMENT: Alphanumerical

DESCRIPTION:

State statute 26-10-6 (1)(a) (b)(i)(ii) requires each newborn infant to be screened for phenylketonuria (PKU) or "other metabolic diseases which may result in mental retardation or brain damage". These records are in an electronic format. They contain screening results sent to the Newborn Screening Program from the Newborn Screening Follow-up Laboratory. This begins the program's intervention and tracking of individuals. The electronic charts document all medical information and actions taken in identifying individuals whose laboratory results were abnormal, inconclusive, insufficient quantity for testing, unsatisfactory, or which identified an individual as having had a transfusion. Some individuals' tests may require further confirmation. Additional confirmation tests are performed by laboratories other than the Newborn Screening Laboratory. The data are used to contact providers and families, to coordinate confirmation activities, to provide education, and to identify final disposition. The system automatically tracks and gives notice of specific action to be taken (call or letter), when that action is due or overdue (not received into the system), and who needs to be notified of that action. All medical charting is completed and stored electronically. Diagnostic laboratory testing and diagnosis is also entered and stored.

Data may include the following information: type of specimen; kit ID number; accession number; infant's last name, first name, sex, birth date, date of collection, feeding type, clinical information (transfusions, antibiotics); mother's last name, first name, maiden name, date of birth, address, telephone number; provider's last name, first name, address, telephone number; laboratory accession number; date of specimen; recall screen status; sample acceptable; follow-up staff notes; initial screen and recall screen lab results; diagnostic testing request and results; request for payment authorization; date of death, letter of screening result notification; diagnosis and treatment.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 08/1999

AGENCY: Department of Health and Human Services. Utah Public Health Laboratory. Newborn Screening
SERIES: 21951
TITLE: Case management data files

(continued)

FORMAT MANAGEMENT:

Computer data files: Retain in Office for 21 years and then delete.

APPRAISAL:

These records have administrative, and/or legal value(s).
This disposition is based on the administrative and legal value of these records to the agency until the subject of each record attains 21 years of age.

PRIMARY DESIGNATION:

Exempt Utah Code 26-3-7 (2013)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 09/2017.

AGENCY: Department of Health and Human Services. Utah Public Health Laboratory. Newborn Screening

SERIES: 82242

3

TITLE: Demographic cards

DATES: 1979-

ARRANGEMENT: Chronological by laboratory accession number.

ANNUAL ACCUMULATION: 6.50 cubic feet.

DESCRIPTION:

These records support the agency's function to screen newborns for "heritable disorders which may result in an intellectual or physical disability, or death" (Utah Code 26B-4-319 (2022)). These records are the completed demographic cards provided in the newborn screen test kits and data generated from testing of the blood spots. Demographic card records include identifiable information for the mother, infant, and medical provider. Computer data file records include laboratory results from the blood spot testing.

RETENTION:

Retain for 21 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 12/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 20 years and then destroy.

Computer data files: Retain in Office for 21 years and then delete.

APPRAISAL:

These records have administrative value(s).

RETENTION JUSTIFICATION:

AGENCY: Department of Health and Human Services. Utah Public Health Laboratory. Newborn Screening

SERIES: 82242

TITLE: Demographic cards

(continued)

Utah Code 78-14-4 sets a maximum four year limitation for malpracticeion. UCA 78-14-4(2) specifically applies this limitation to minors. However, several court decisions have held that the statute does not begin to run until the plaintiff knew or should have known about the cause of action. In the case of a metabolic disorder, if left untreated, symptoms may not occur until adulthood. This sets the parameters of the total retention.

PRIMARY DESIGNATION:

Exempt Utah Code 26B-8-406 (2023)

AGENCY: Department of Health and Human Services. Utah Public Health Laboratory. Newborn Screening

SERIES: 21995 3

TITLE: Diagnostic interventions closed case files

DATES: 1979-2017.

ARRANGEMENT: Alphabetical by congenital disorder, thereunder alphabetical by patient's last name

DESCRIPTION:

State statute 26-10-6 (1)(a) (b)(i)(ii) requires each newborn infant to be screened for phenylketonuria (PKU) or "other metabolic diseases which may result in mental retardation or brain damage". These case files document all medical information and actions taken in identifying individuals with laboratory screening results that are abnormal (including specimens that are inconclusive or insufficient quantity for testing) and require further confirmation of abnormal results, diagnosis, and need for treatment. Further confirmation is provided through laboratories other than the state's Newborn Screening Laboratory. Data may include the following information: Type of form; kit ID number and bar code; accession number; infant's last name, first name, sex, birth date, feeding type, clinical information (transfusion, antibiotics); mother's last name, first name, maiden name, birth date, full address; Provider's last name, first name, address, telephone number; recall screen status; sample acceptable; follow-up staff notes; initial screen and recall screen lab results; diagnostic testing request and results; request for authorization and authorization for payment; bill for services; date of death; letters of screening result notification; diagnostic form, completed by provider and signed; diagnosis and treatment; application for services form; personal financial responsibility form.

RETENTION:

Retain for 21 year(s) after case is closed

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 05/2001

AGENCY: Department of Health and Human Services. Utah Public Health Laboratory. Newborn Screening
SERIES: 21995
TITLE: Diagnostic interventions closed case files

(continued)

FORMAT MANAGEMENT:

Paper: Retain in Office until end of calendar year and then transfer to State Records Center. Retain in State Records Center for 20 years and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Exempt Utah Code 26-3-7 (2013)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 09/2017.

AGENCY: Department of Health and Human Services. Utah Public Health Laboratory. Newborn Screening

SERIES: 30744

3

TITLE: Dried blood spot cards

DATES: 1979-

ARRANGEMENT: Chronological by laboratory accession number.

DESCRIPTION:

These records support the agency's function to screen newborns for "heritable disorders which may result in an intellectual or physical disability, or death" (Utah Code 26B-4-319 (1) (2023)). These records are the blood spot cards from the newborn screen test kits. The records contain sample identification numbers. No patient demographic information is attached.

RETENTION:

Retain for 7 year(s)

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 and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Exempt Utah Code 26B-8-406 (2023)

AGENCY: Department of Health and Human Services. Utah Public Health Laboratory. Newborn Screening

SERIES: 82246

3

TITLE: Hospital notification reports

DATES: 1979-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION: 0.30 cubic feet.

DESCRIPTION:

These records support the agency's function to screen newborns for "heritable disorders which may result in an intellectual or physical disability, or death" (Utah Code 26-10-6 (1) (2013)). Records are notifications of laboratory test results sent to hospitals, and indicate any additional specimen draws, transcription errors, or overdue follow-up tests. Records include identifiable information for the mother, infant, and medical provider.

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: 12/1987

FORMAT MANAGEMENT:

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

APPRAISAL:

These records have administrative value(s).

AGENCY: Department of Health and Human Services. Utah Public Health Laboratory. Newborn Screening

SERIES: 82246

TITLE: Hospital notification reports

(continued)

PRIMARY DESIGNATION:

Exempt Utah Code 26-3-7(2013)

AGENCY: Department of Health and Human Services. Utah Public Health Laboratory. Newborn Screening

SERIES: 82248

3

TITLE: Inadequate specimen list-overdue reports

DATES: 1979-1994.

ARRANGEMENT: Chronological

DESCRIPTION:

This is a record of specimens that had to be drawn a second time due to a problem with the original specimen. It includes hospital name; infant identification number, name, sex, and date of birth; the specimen date; the doctor's name; the screen type; and the replacement identification number. This is a report of automated data system, file key: NMSDS.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 12/1987

FORMAT MANAGEMENT:

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

APPRAISAL:

These records have administrative value(s).

This record has administrative value only.

PRIMARY DESIGNATION:

Private

AGENCY: Department of Health and Human Services. Utah Public Health Laboratory. Newborn Screening

SERIES: 82251

3

TITLE: Metabolic Program Planning Committee meeting minutes

DATES: 1985-2017.

ARRANGEMENT: Chronological.

DESCRIPTION:

These records document the advisory role of the Metabolic Program Planning Committee on policy, programs, and proposals for the agency's newborn screening services. Information includes matters discussed, determinations, and actions of the meeting.

RETENTION:

Retain permanently

DISPOSITION:

May Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Internal committee records, GRS-1725.

AUTHORIZED: 12-01-2015

FORMAT MANAGEMENT:

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

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

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Exempt 45 CFR 164 - HIPAA

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 09/2017.

AGENCY: Department of Health and Human Services. Utah Public Health Laboratory. Newborn Screening

SERIES: 82256

3

TITLE: Minutes

DATES: undated.

ARRANGEMENT: none

DESCRIPTION:

Minutes of open and closed committee and board meetings as required by UCA 52-4-203 (2014), et seq. "Written minutes shall be kept of all open meetings" UCA 52-4-203 (2013). May include agenda, meeting minutes, transcripts, and other supporting documentation.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

FORMAT MANAGEMENT:

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

APPRAISAL:

These records have administrative value(s).

Based on General Retention Schedule 23 Item 2b.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health and Human Services. Utah Public Health Laboratory. Newborn Screening

SERIES: 22046

3

TITLE: Newborn Screening laboratory records

DATES: 1979.

ARRANGEMENT: Chronological by year.

DESCRIPTION:

These records document testing completed by the State Lab for the Newborn Screening Program. Includes not normal results for Hypothyroidism Phenylketonuria (PKU), Galactosemia (GALT), as well as worksheets. Information includes name, date of test, and lab results.

RETENTION:

Retain for 21 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

APPROVED: 02/2000

FORMAT MANAGEMENT:

Paper: Retain in Office until end of calendar year and then transfer to State Records Center. Retain in State Records Center for 20 years and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Private UCA 26-10-6

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 09/2017.

AGENCY: Department of Health and Human Services. Utah Public Health Laboratory. Newborn Screening

SERIES: 82250

3

TITLE: Overdue PKU follow-ups

DATES: 1982-1994.

ARRANGEMENT: Chronological

DESCRIPTION:

This is a report of followup tests that are overdue. It's use is similar to a tickler file to remind the staff to follow up on the matter. It includes the identification number, the hospital of birth, the infant's name and date of birth, the first specimen date, and the doctor's name. This is a report of automated data system, file key: NMSDS.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 12/1987

FORMAT MANAGEMENT:

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

APPRAISAL:

These records have administrative value(s).

Once the office has followed up on these screenings, the report can be destroyed.

PRIMARY DESIGNATION:

Private

AGENCY: Department of Health and Human Services. Utah Public Health Laboratory. Newborn Screening

SERIES: 82245

3

TITLE: Patient case files

DATES: 1982-

ARRANGEMENT: Alphabetical by client.

DESCRIPTION:

These records support the agency's function to screen newborns for "heritable disorders which may result in an intellectual or physical disability or death" (Utah Code 26-10-6(1)(b)(2017)). Records document medical information and actions taken. Information include the specimen date, test results, identifiable information for the mother and infant, and may include a diagnosis and treatment plan.

RETENTION:

Retain for 22 year(s)

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:

Computer data files: Retain in Office for 22 years after date of birth and then delete.

Computer magnetic storage media: For records prior to and including 2000. Retain in Tape Library for 3 years or until the child is twenty-one years of age and then erase.

Computer output microfiche master: For records prior to and including 2000. Retain in Office for 22 years after date of birth and then destroy.

Computer magnetic storage media: For records prior to and including 2000. Retain in Office until administrative needs end and then erase.

Paper: Retain in Office for 1 year after date of birth and then

AGENCY: Department of Health and Human Services. Utah Public Health Laboratory. Newborn Screening
SERIES: 82245
TITLE: Patient case files

(continued)

transfer to State Records Center. Retain in State Records Center for 21 years and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Exempt Utah Code 26-3-7 (2017) and 45 CFR 164 - HIPAA

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 09/2017.

AGENCY: Department of Health and Human Services. Utah Public Health Laboratory. Newborn Screening

SERIES: 82247

3

TITLE: Positive specimen tracking report

DATES: 1979-2015.

ARRANGEMENT: Chronological

DESCRIPTION:

This is a report of the specimens that tested positive. It includes the infant's name, sex, identification number, and date of birth; the doctor's name; the specimen date; the lab test type; and the result code and ranges. This is a report of automated data system, file key: NMDS.

RETENTION:

Permanent. Retain for 10 year(s) after completion of publication or report

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 12/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 5 years after report is published and then transfer to State Records Center. Retain in State Records Center for 5 years and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative value(s).

This record has administrative value only.

PRIMARY DESIGNATION:

Private

AGENCY: Department of Health and Human Services. Utah Public Health Laboratory. Newborn Screening

SERIES: 82241

3

TITLE: Screening case files closed to interactions

DATES: 1979-1993.

ARRANGEMENT: by testing category

DESCRIPTION:

State statute 26-10-6 (1)(a) (b)(i)(ii) requires each newborn infant to be screened for phenylketonuria (PKU) or "other metabolic diseases which may result in mental retardation or brain damage". The individual's chart documents all medical information and actions that were taken in identifying individuals with laboratory screening results that were abnormal, inconclusive, or of insufficient quantity for testing or normal recall screening, or if an individual is deceased. Data are used to notify providers and families of initial abnormal, inconclusive, or insufficient quantity test results, and of the final disposition (normal or deceased). The case files also track request/release information, other notifications of specific individuals, refusals of screenings, etc. The data may include type of form; kit ID number and bar code; accession number; infant's last name, first name, sex, birth date, age at time of specimen draw; feeding type, clinical conditions (transfusions, antibiotics); mother's last name, first name, maiden name, date of birth, full address, telephone number; provider's last name, first name, provider code, full address, telephone number; laboratory accession number; date of specimen; recall screen status; results normal; sample acceptable; nurses notes; initial screen and recall screen lab results; date of death; letters of screening result notification.

RETENTION:

Retain for 21 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 12/1987

FORMAT MANAGEMENT:

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

AGENCY: Department of Health and Human Services. Utah Public Health Laboratory. Newborn Screening
SERIES: 82241
TITLE: Screening case files closed to interactions

(continued)

Records Center. Retain in State Records Center for 20 years and then destroy.

APPRAISAL:

These records have administrative, and/or legal value(s).
UCA 78-14-4 sets a maximum four year limitation for malpractice action. UCA 78-14-4(2) specifically applies this limitation to minors. However, several court decisions have held that the statute does not begin to run until the plaintiff knew or should have known about the cause of action. In the case of a metabolic disorder, if left untreated, symptoms may not occur until adulthood. This sets the parameters of the total retention.

PRIMARY DESIGNATION:

Exempt UCA 26-3 (2008).