

## Retention and Classification Report

**Agency:** Department of Health and Human Services. Division of Substance Use and Mental Health (3195)  
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**Records Officer:** \_\_\_\_\_

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

**SERIES:** 83427

1

**TITLE:** Alcohol servers education and training files

**DATES:** 1980-

**ARRANGEMENT:** Alphabetical by employee surname

**DESCRIPTION:**

These files document educational training given to alcohol servers within the State of Utah. The Division of Substance Abuse has been charged with the responsibility for conducting the training. Information includes name, social security number, class outlines, and evaluations.

**RETENTION:**

Retain until superseded

**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Paper: Retain in Office until superseded or obsolete and then destroy.

**APPRAISAL:**

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

**PRIMARY DESIGNATION:**

Public

**SECONDARY DESIGNATION(S):**

Private

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

**SERIES:** 25997

3

**TITLE:** Area Plans/Monitoring Reports

**DATES:** 1990-

**ARRANGEMENT:** Alphabetical by name, thereunder chronological by year.

**DESCRIPTION:**

Studies and system analyses conducted before program change, the purchase, installation, or replacement of any technology or equipment. May include studies and systems analyses for the initial establishment, major changes for program, equipment, or technology changes.

**RETENTION:**

Retain for 7 year(s) after expiration of contractual agreement

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Contract and lease records, GRS-1731.

**AUTHORIZED:** 07-30-2019

**FORMAT MANAGEMENT:**

Paper: Retain in Office until expiration of contractual agreement and then transfer to State Records Center. Retain in State Records Center for 7 years and then destroy.

Computer data files: Retain in Office for 7 years after expiration of contractual agreement and then delete.

**APPRAISAL:**

These records have administrative value(s).

All appraisal fields were checked. I deleted historical, legal, and fiscal until I check with the agency about the purpose of the records. SLM

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

**SERIES:** 25997

**TITLE:** Area Plans/Monitoring Reports

(continued)

**PRIMARY DESIGNATION:**

Public

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

**SERIES:** 11799

3

**TITLE:** Assessment files

**DATES:** 1989-

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

**ANNUAL ACCUMULATION:** 6.00 cubic feet.

**DESCRIPTION:**

These files document mental health assessments of clients and are used to determine their medical needs for nursing facility services and mental health treatment programs. Information includes name, family information, employment histories, psychiatric and psychological information.

**RETENTION:**

Retain for 9 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 06/1997

**FORMAT MANAGEMENT:**

Paper: Retain in Office until scanned and quality checked and then transfer to State Records Center. Retain in State Records Center for 9 years and then destroy.

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

**APPRAISAL:**

These records have administrative value(s).

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

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

**SERIES:** 11799

**TITLE:** Assessment files

(continued)

**PRIMARY DESIGNATION:**

Exempt

42 CFR 483.00 (2008)

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

**SERIES:** 83431

3

**TITLE:** Data collection system

**DATES:** 1988-

**ARRANGEMENT:** None.

**DESCRIPTION:**

Records which monitor the activities of a data processing system.  
Information includes console logs, physical, and on-line access.

**RETENTION:**

Retain until administrative need ends

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule  
Information governance records, GRS-1713.

**AUTHORIZED:** 02-19-2019

**FORMAT MANAGEMENT:**

Paper: Retain in Office until administrative need ends and then  
destroy.

**APPRAISAL:**

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

**PRIMARY DESIGNATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 06/2019.

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

**SERIES:** 17225

3

**TITLE:** Driving under the influence offender instructor certification files

**DATES:** 1983-

**ARRANGEMENT:** Alphabetical by district

**ANNUAL ACCUMULATION:** 0.20 cubic feet.

**DESCRIPTION:**

This is a record of the certification of instructors who work in educational programs for DUI offenders. Data on the program itself is maintained by the Office of Licensing. This series includes instructor applications for certification, and copies of class surveys performed by the state Substance Abuse staff. These surveys are done to ensure that the instructors are following the state approved curriculum. These classes are monitored annually.

**RETENTION:**

Retain for 6 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 3 years and then transfer to State Records Center. Retain in State Records Center for 3 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

**SERIES:** 17225

**TITLE:** Driving under the influence offender instructor certification files

(continued)

**PRIMARY DESIGNATION:**

Private

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

**SERIES:** 22011

3

**TITLE:** Financial Information Network (FI-NET) Reports

**DATES:** 1990-

**ARRANGEMENT:** Numerical by report number

**DESCRIPTION:**

Reports of accounting information contained in the state accounting system, including budget, grant, payroll, revenue expense, accounting reports, and bank reconciliations.

**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: Retain in Office for 3 years and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).  
This disposition is based on the administrative needs expressed by the agency for the purpose of conducting audits.

**PRIMARY DESIGNATION:**

Public

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

**SERIES:** 22010

1

**TITLE:** Financial Information Resources System (FIRMS) periodic reports

**DATES:** 1990-

**ARRANGEMENT:** Numerical by report number

**DESCRIPTION:**

Includes the following: FICAA01T Trail balance monthly. FICAA05P Outstanding encumbrance. FICAA09P Outstanding reservation. FICAA10P Cash deposits. FICAA30P General ledger activity. FICAA85P Revenue and expenditure status by fund. FICAED01 Expenditure detail by sub-account. FICAES01 Expenditure status by sub-account. FICAES02 Work program/expenditure comparison by summary account. FICARD01 Revenue detail by sub-account within organization. FICARS01 Revenue status by sub-account. FICARS02 Estimated revenue/realized revenues. FICAER01 Expenditure/revenue summary by level 2. FICAMP01 Revenue account status by activity other than Department of Transportation. OBSOLETE RECORD SERIES BY 1998.

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

**APPRAISAL:**

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

This disposition is based on the administrative needs expressed by the agency for the purpose of conducting audits.

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

**SERIES:** 22010

**TITLE:** Financial Information Resources System (FIRMS) periodic reports

(continued)

**PRIMARY DESIGNATION:**

Public

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

**SERIES:** 28913

3

**TITLE:** Forensic Mental Health Coordinating Council meeting minutes

**DATES:** 2002-

**ARRANGEMENT:**

**DESCRIPTION:**

The Forensic Mental Health Coordinating Council was established to provide advise, educate, and coordinate between the State Hospital and the Department of Correction to ensure the fair and efficient treatment of individuals with an intellectual disability or mental illness who become involved in the civil commitment system or in the criminal or juvenile justice system (Utah Code 63A-15-605(3)(2015)). These records document the open and public monthly meetings held by the council and includes the approved meeting minutes, agenda, notices, and any public materials distributed at the meeting.

**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 1 year and then transfer to State Records Center. Retain in State Records Center for 4 years and then transfer to State Archives with authority to weed.

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

**APPRAISAL:**

These records have administrative, and/or historical value(s). Records in this series provide an understanding of the coordination between and oversight of the State Hospital and the Department of corrections in the creation of policies and

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

**SERIES:** 28913

**TITLE:** Forensic Mental Health Coordinating Council meeting minutes

(continued)

programs relating to individuals with an intellectual disability or mental illness who become involved in the civil commitment system or in the criminal or juvenile justice system.

**PRIMARY DESIGNATION:**

Public

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

**SERIES:** 3098

3

**TITLE:** Mental health and retardation correspondence

**DATES:** 1947-

**ARRANGEMENT:** Alphanumerical.

**DESCRIPTION:**

These are meeting minutes, correspondence, and project proposals.

**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 Open meeting minutes & supplementary materials, GRS-1709.

**AUTHORIZED:** 10-28-2020

**FORMAT MANAGEMENT:**

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

**APPRAISAL:**

These records have historical value(s).  
Minutes have historical value documenting decisions.

**PRIMARY DESIGNATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 07/2019.

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

**SERIES:** 18207

3

**TITLE:** Mental health client case files

**DATES:** 1985-

**ARRANGEMENT:** Alphabetical by client surname, thereunder chronological by year

**ANNUAL ACCUMULATION:** 15.00 cubic feet.

**DESCRIPTION:**

These case files document the diagnosis and treatment of mental health, alcohol and drug abuse patients. They are created by clinical staff including social workers, psychiatrists, nurses, and psychologists. They may include applications for services, assessments, mental health examinations, treatment plans, medical records, progress notes, treatment reviews, income claim forms, copies of paycheck stubs, copies of medicare card, release forms, medication prescribed, copies of prescriptions issued, psychological tests and evaluations. May also contain case management documents such as ninety day reviews and service plans.

**RETENTION:**

Retain for 5 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:** 06/1997

**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 4 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or legal value(s). This disposition is based on the administrative needs expressed by the agency and Medicare legal requirements specified in the Utah Administrative Code, R414-28 (1983) which specifies that these records must be retained for a minimum of five years.

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

**SERIES:** 18207

**TITLE:** Mental health client case files

(continued)

**PRIMARY DESIGNATION:**

Controlled

**SECONDARY DESIGNATION(S):**

Private. UCA 63G-2-302 (2008)

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

**SERIES:** 7141

3

**TITLE:** Mental health patient case files

**DATES:** 1974-

**ARRANGEMENT:** Numerical by case number

**DESCRIPTION:**

These files document services provided to clients by the Division of Mental Health. Information includes name, social security number, correspondence, psychiatric and psychological information, birthdate, and correspondence.

**RETENTION:**

Retain for 30 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:**

Paper: Retain in Office until microfilmed and then destroy provided microfilm has passed inspection.

Microfilm master: Retain in State Records Center for 30 years and then destroy.

Microfilm duplicate: For records prior to and including 2000. Retain in Office for 30 years and then destroy.

Paper: For records beginning in 2001 and continuing to the present. Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 29 years and then destroy.

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

**SERIES:** 7141

**TITLE:** Mental health patient case files

(continued)

**APPRAISAL:**

These records have administrative value(s).

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

**PRIMARY DESIGNATION:**

Controlled

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

**SERIES:** 17245

3

**TITLE:** Mental health patient commitment notices

**DATES:** 1980-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 0.20 cubic feet.

**DESCRIPTION:**

This is a notice sent to the Division which indicates the whereabouts of a patient in the system. A patient may have been transferred to another facility, released, or have been committed by the court. This series includes the date of transfer, date of discharge, name of facility, and type of commitment.

**RETENTION:**

Retain for 5 year(s) after resolution of issue

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 5 years after date of last treatment or until entered onto the data system and then destroy.

Computer magnetic storage media: Retain in Office for 5 years after date of last treatment and then erase.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).  
Retention is based on UCA 62A-12-248(3); (formerly UCA 64-7).

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

**SERIES:** 17245

**TITLE:** Mental health patient commitment notices

(continued)

**PRIMARY DESIGNATION:**

Controlled

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

**SERIES:** 3901

3

**TITLE:** Mental health plans

**DATES:** 1962-

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

Any record, regardless of format, that is issued by a governmental entity for public distribution at the total or partial expense of that governmental entity. See Utah Code Section 9-7-101 8(a)(b) (2010) and 9-7-208 (2006)

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**AUTHORIZED:** 10-30-2018

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 9 years and then transfer to State Archives with authority to weed.

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 administrative, and/or historical value(s). This disposition is based on the secondary historical value to researchers interested in the development of mental health programs in Utah.

**PRIMARY DESIGNATION:**

Public

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

**SERIES:** 17244

3

**TITLE:** Mental health provider files

**DATES:** 1982-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 0.50 cubic feet.

**DESCRIPTION:**

This is a complete record on the provider and the services available to social service clients. This series includes a service plan, Quality Control Review, Pre-Site Review, budget statement, and related correspondence.

**RETENTION:**

Retain for 5 year(s) after expiration of contractual agreement

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years after contract expires or is terminated and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy.

**APPRAISAL:**

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

**PRIMARY DESIGNATION:**

Public

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

**SERIES:** 3899

3

**TITLE:** Mental retardation association reorganization plan

**DATES:** 1973-

**ARRANGEMENT:** Alphanumerical

**DESCRIPTION:**

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**FORMAT MANAGEMENT:**

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

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

**SERIES:** 17246

3

**TITLE:** National Drug and Alcoholism Treatment Unit survey report

**DATES:** 1980-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 0.50 cubic feet.

**DESCRIPTION:**

This is a statistical report requested by and sent to the federal government. It contains the number of clients participating in a substance abuse treatment program. The report is not done on a continual basis, but only when requested by the federal government. A copy of this report is returned to the agency.

**RETENTION:**

Permanent. Retain for 2 year(s) after completion of publication or report

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years after date of report and then transfer to State Archives with authority to weed.

**APPRAISAL:**

These records have administrative value(s).  
Retention is based on general Retention Schedule 20.

**PRIMARY DESIGNATION:**

Public

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

**SERIES:** 17246

**TITLE:** National Drug and Alcoholism Treatment Unit survey report

(continued)

**SECONDARY DESIGNATION(S):**

Private. data on private institutions.

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

**SERIES:** 3611

4

**TITLE:** On site evaluation and site visit reports

**DATES:** i 1983-

**ARRANGEMENT:** Alphanumerical

**DESCRIPTION:**

These reports document on site visits to evaluate compliance with the regulations and quality assurance of private providers who have contracted with the Division of Substance Abuse. These reports include client record reviews, service validations, general findings and conclusions, compliance statements, recommendations, and Management Information System (MIS) validations.

**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:** 01/1986

**FORMAT MANAGEMENT:**

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

**APPRAISAL:**

These records have administrative, and/or legal value(s).  
This disposition is based on the needs of the agency.  
UCA 63-2-11 (1989) specifies the authority given to the Department of Human Services to conduct on site evaluations and inspections.

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

**SERIES:** 3611

**TITLE:** On site evaluation and site visit reports

(continued)

**PRIMARY DESIGNATION:**

Private

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

**SERIES:** 29108

3

**TITLE:** Public body meeting minutes and related materials

**DATES:** 1996-

**ARRANGEMENT:** Chronologically by year and thereafter by public body type

**DESCRIPTION:**

These records are used to document the operations and decision-making process of the public bodies administered by the Division of Substance Abuse and Mental Health. Records include minutes, agendas, meeting rosters, correspondence, policies, procedures, bylaws, and other related materials.

**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 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 Records Center. Retain in State Records Center for 5 years and then transfer to State Archives with authority to weed.

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

**APPRAISAL:**

These records have administrative, and/or historical value(s).  
These records are of historical value, as they document the decisions and actions of the governing bodies within the Division of Substance Abuse and Mental Health.

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

**SERIES:** 29108

**TITLE:** Public body meeting minutes and related materials

(continued)

**PRIMARY DESIGNATION:**

Public

**SECONDARY DESIGNATION(S):**

Protected. 63G-2-305(32)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 04/2017.

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

**SERIES:** 28912

3

**TITLE:** Scholarship and grant records

**DATES:** 2001-

**ARRANGEMENT:** Chronological.

**DESCRIPTION:**

These records support the agency's function to provide direction over public funds for substance abuse and mental health services (Utah Code 62A-15-103(2)(c)(v)(2016)). Records document the awarding of financial assistance, scholarships, and grants and may include proposals and applications, contracts, project reports, studies, certificates, agreements, client information sheets, correspondence, and related records.

**RETENTION:**

Retain for 7 year(s) after expiration of contractual agreement

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Grant records, GRS-1859.

**AUTHORIZED:** 07-23-2018

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year after expiration of contractual agreement 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 after expiration of contractual agreement and then delete.

**APPRAISAL:**

These records have fiscal value(s).

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

**SERIES:** 28912

**TITLE:** Scholarship and grant records

(continued)

**PRIMARY DESIGNATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 07/2017.

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

**SERIES:** 3612

3

**TITLE:** Substance abuse executive summaries of on site evaluation reports

**DATES:** i 1983-

**ARRANGEMENT:** Alphanumerical

**DESCRIPTION:**

These are summaries of on site evaluation reports used to provide information to the public summarizing compliance of private organizations contracting with the State Division of Alcoholism and Drugs. These reports include a brief statement of compliance and/or noncompliance with elements of the contract, initiation of any corrective action, overall compliance issues, and any decisions to either withdraw or increase program funding.

**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:** 01/1986

**FORMAT MANAGEMENT:**

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

**APPRAISAL:**

These records have administrative value(s).

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

**PRIMARY DESIGNATION:**

Public

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

**SERIES:** 17228

3

**TITLE:** Substance abuse provider contract files

**DATES:** 1984-

**ARRANGEMENT:** Alphabetical by district

**ANNUAL ACCUMULATION:** 6.20 cubic feet.

**DESCRIPTION:**

Criticisms, evaluations, and reports of a program to ensure compliance with the regulations and quality assurance of the provider who has a contract with the division. This series includes status of license, program evaluation, criticisms of the program, copy of the contract, and resumes.

**RETENTION:**

Retain for 6 year(s) after expiration of contractual agreement

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 3 years after date of closure and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).  
Retention is based on the Illinois Schedule for the Department of Alcoholism and Substance Abuse, Records Schedule 86-105, Item 25.

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

**SERIES:** 17228

**TITLE:** Substance abuse provider contract files

(continued)

**PRIMARY DESIGNATION:**

Private

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

**SERIES:** 83428

3

**TITLE:** Substance abuse provider contract monitoring files

**DATES:** 1988-

**ARRANGEMENT:** Alphabetical by provider surname

**DESCRIPTION:**

These records document monitoring programs for providers contracted by the Department of Human Services. The Division of Substance Abuse does the actual monitoring of providers. Information includes name, social security number, reports, and correspondence.

**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 Contract and lease records, GRS-1731.

**AUTHORIZED:** 07-30-2019

**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 value(s).

**PRIMARY DESIGNATION:**

Private

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

**SERIES:** 20936

3

**TITLE:** Substance abuse publications

**DATES:** 1974-

**ARRANGEMENT:** Chronological.

**DESCRIPTION:**

Any record, regardless of format, that is issued by a governmental entity for public distribution at the total or partial expense of that governmental entity. See Utah Code Section 9-7-101 8(a)(b) (2010) and 9-7-208 (2006)

**RETENTION:**

Permanent. Retain until administrative need ends

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**AUTHORIZED:** 10-30-2018

**FORMAT MANAGEMENT:**

Paper: Retain in State Archives permanently and then microfilm.

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 document the activities and function of the agency.

**AGENCY:** Department of Health and Human Services. Division of Substance Use and Mental Health  
**SERIES:** 20936  
**TITLE:** Substance abuse publications

(continued)

**PRIMARY DESIGNATION:**  
Public

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

**SERIES:** 28914

3

**TITLE:** Utah Behavioral Health and Planning Advisory Council meeting minutes

**DATES:** 2015-

**ARRANGEMENT:**

**DESCRIPTION:**

The agency is statutorily responsible for reviewing plans for the use of block grant funds, advising the Division of Substance Abuse and Mental Health on block grant plans and revisions, serving as an advocate for individuals impacted by mental illness and or substance use disorder, and monitoring and evaluating the adequacy of services in Utah. (PSA 102-321 sec 1914). These records document the open and public monthly meetings held by the council and includes the approved meeting minutes, agenda, notices, and any public materials distributed at the meeting.

**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 1 year and then transfer to State Records Center. Retain in State Records Center for 4 years and then transfer to State Archives with authority to weed.

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

**APPRAISAL:**

These records have administrative, and/or historical value(s). Records in this series provide valuable insight to the services in Utah for individuals impacted by mental illness and/or substance use disorder.

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

**SERIES:** 28914

**TITLE:** Utah Behavioral Health and Planning Advisory Council meeting minutes

(continued)

**PRIMARY DESIGNATION:**

Public

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

**SERIES:** 22007

3

**TITLE:** Vendor payment vouchers

**DATES:** 1990-

**ARRANGEMENT:** Alphabetical by provider thereunder alphabetical by contract

**DESCRIPTION:**

Documentation used to input data about cancelled warrants. The information is used to ensure that funds are accurately credited to proper agency Financial Information Network (FI-NET) accounts.

**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: Retain in Office for 3 years and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s). This disposition is based on the 1997 Utah State General Retention Schedule, Schedule 7, Item 50.

**PRIMARY DESIGNATION:**

Public

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

**SERIES:** 22007

**TITLE:** Vendor payment vouchers

(continued)

**SECONDARY DESIGNATION(S):**

Private. UCA 63G-2-302 (1) (e) 1999

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

**SERIES:** 17227

3

**TITLE:** Workshop and training files

**DATES:** 1982-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 1.50 cubic feet.

**DESCRIPTION:**

Workshop and training materials related to alcoholism and drug treatment.

**RETENTION:**

Retain for 3 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 09/1988

**FORMAT MANAGEMENT:**

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

**APPRAISAL:**

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

**PRIMARY DESIGNATION:**

Public workshop and program information

**SECONDARY DESIGNATION(S):**

Private. personal information on the instructor

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

**SERIES:** 83429

1

**TITLE:** Workshop and training presenter files

**DATES:** 1988-

**ARRANGEMENT:** Alphabetical by trainer surname

**DESCRIPTION:**

These records document training offered by presenters. The Division of Substance Abuse sponsors training on agency programs and changes in the laws affecting the division's programs. Information includes name, social security number, schedules, dates, and correspondence.

**RETENTION:**

Retain until superseded

**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 superseded or obsolete and then destroy.

**APPRAISAL:**

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

**PRIMARY DESIGNATION:**

Private