

Retention and Classification Report

Agency: Department of Health and Human Services. Operations. Division of Licensing and Background Checks. (4610)

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Records Officer: _____

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AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 25432

1

TITLE: Adjudicative records for closed health facilities

DATES: 1992-

ARRANGEMENT: Alphabetical

ANNUAL ACCUMULATION: 2.00 cubic feet.

DESCRIPTION:

This series contains records relating to legal action taken by the agency or other state agencies against health care facilities, as well as legal action taken by a facility against the agency. The records are maintained in order to follow up on legal action and to document the history of criminal and civil cases.

RETENTION:

Retain for 9 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 4 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

APPRAISAL:

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

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 16804

3

TITLE: Administrative files

DATES: 1976-

ARRANGEMENT: Alphabetical by subject

DESCRIPTION:

These are records accumulated by the bureau that relate to the function, internal administration, or housekeeping activities of the office. They include memoranda and correspondence, equipment manuals, printing service request forms, telephone record forms, memoranda of understanding, and information on the Long Term Ombudsman Program and other programs.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 90 days or until no longer needed and then destroy.

Paper: Retain in Office for 2 years or until no longer needed and then destroy.

Paper: Retain in Office for 2 years and 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, and/or historical value(s).

As an administrative file, this file contains a wide variety of information. That information which documents the activities and accomplishments of the bureau is of long term value. The rest can be disposed of after a short time. Records under "1" include letters of transmittal that do not add any information to that contained in the transmitted material, quasi-official notices such as memoranda and other papers that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals and similar papers. Records under "2" relate to the office organization, staffing, procedures, and communications; the day-to-day administration of office personnel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. Also,

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 16804

TITLE: Administrative files

(continued)

records that are duplicates of information filed elsewhere.
Records under "3" are not duplicated elsewhere and document how the office is organized and how it functions, its pattern of action, its policies, procedures, and achievements.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 22111

3

TITLE: Architect contracts

DATES: 1997-

ARRANGEMENT: Alphabetical by name of architect

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

This series provides documentation between the Bureau and individual architects or architectural firms hired to conduct reviews of the building plans for health and child care facilities. Information includes a copy of the contract and related correspondence.

RETENTION:

Retain for 7 year(s)

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 2 years after last payment and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

APPRAISAL:

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

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 25433

3

TITLE: Child care background non-clearance case files

DATES: 1998-

ARRANGEMENT: Alphabetical by surname of applicant

ANNUAL ACCUMULATION: 2.00 cubic feet.

DESCRIPTION:

This series is maintained by the agency as part of its effort to comply with legal mandates outlined in UCA 26-39-107 (2005) and Utah Administrative Code R430-6 (2005), which govern background checks for individuals working in child care facilities. The series contains records documenting agency denial of applicants seeking clearance to work in child care facilities. The records are used by the agency to evaluate requests for reconsideration or variance approval for applicants who have been denied clearance. The records are also maintained to document the denial process in the event of legal action. Documents in the series include application forms, Criminal Background Screening/Management Information Systems (CBS/MIS) consent and release of liability forms, correspondence, collateral information submitted by the applicant, court records involving the applicant, and SAFE licensing substantiated criminal history information.

RETENTION:

Retain for 9 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: 09/2005

FORMAT MANAGEMENT:

Paper: Retain in Office for 4 years after case becomes inactive or provider ceases operation and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 25433

TITLE: Child care background non-clearance case files

(continued)

APPRAISAL:

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

This disposition is based on the administrative needs expressed by office and reflects the need to have it in the event of legal action.

PRIMARY DESIGNATION:

Protected UCA 63G-2-305(9) and (10) 2005

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 28130

3

TITLE: Child care non-clearance case files

DATES: 2008-

ARRANGEMENT: Alphabetical by last name.

DESCRIPTION:

Parents who receive child care assistance payments through the Department of Workforce Services may obtain child care from a parent, sibling, relative, or friend (Utah Code 35A-3-310.5). Friends or family members who provide child care are not licensed providers, but if they are to receive payment for their services, they are still required to obtain a criminal background check. The Health Department maintains information about potential friend/family member child care providers who did not pass the background check and therefore are ineligible to be paid for child care. No files are created or maintained for individuals who are cleared. Documents include letters, attestation forms, criminal background screening/licensing information system (CBS/LIS) denial form, and any other documentation regarding the applicant's criminal record. If the subject of a non-clearance case file subsequently has his/her criminal case expunged, the expungement order is included in the file as evidence that the record has been cleared.

RETENTION:

Retain for 9 year(s) after separation

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

FORMAT MANAGEMENT:

Paper: For records prior to and including 2014. Retain in Office for 4 years after case has become inactive or until individual ceases to provide child care and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

Computer data files: For records beginning in 2014 and continuing to the present. Retain in Office for 9 years after case has become inactive or until individual ceases to provide child care.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 28130

TITLE: Child care non-clearance case files

(continued)

APPRAISAL:

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

PRIMARY DESIGNATION:

Protected Utah Code 63G-2-305(9) and (10) (2005)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 05/2017.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 22098

3

TITLE: Child care provider complaint records

DATES: 1997-

ARRANGEMENT: Alphabetical by child care facility

ANNUAL ACCUMULATION: 5.00 cubic feet.

DESCRIPTION:

These records support the agency's function to protect children's common need for a safe and healthy environment and to provide for adequate facilities and competent caregivers at child care institutions (Utah Code 36-39-301 (2014)). These records document complaints against child care providers received by the agency. Records include information about the complainant, the facility, the initial complaint, and the resolution of the case.

RETENTION:

Permanent. Retain for 55 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: 11/1999

FORMAT MANAGEMENT:

Paper: For records prior to and including 2010. Retain in Office for 5 years and then transfer to State Records Center. Retain in State Records Center for 50 years and then transfer to State Archives.

Computer data files: Retain in Office permanently.

APPRAISAL:

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

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 22098

TITLE: Child care provider complaint records

(continued)

PRIMARY DESIGNATION:

Exempt Utah Code 26-39-5(501)(6) 2008

SECONDARY DESIGNATION(S):

Protected. Utah Code 63G-2-305(10) 2014

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 22093

3

TITLE: Child care provider licensing files

DATES: 1997-

ARRANGEMENT: Alphabetical by provider name.

ANNUAL ACCUMULATION: 5.00 cubic feet.

DESCRIPTION:

These records support the agency's function to protect children's common need for a safe and healthy environment and to provide for adequate facilities and competent caregivers at child care institutions (Utah Code 36-39-301 (2014)). These records document compliance and/or non-compliance with state child care regulations for residential, family, and center child care providers. Information includes licensing applications and supporting documentation, inspection results, correspondence, and related records.

RETENTION:

Retain for 25 year(s) after disposition of asset

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

FORMAT MANAGEMENT:

Paper: For records prior to and including 2007. Retain in Office for 2 years after facility closes and then transfer to State Records Center. Retain in State Records Center for 23 years and then destroy.

Computer data files: For records beginning in 2005 and continuing to the present. Retain in Office for 25 years after facility closes and then delete.

APPRAISAL:

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

These records have legal value as they are created in accordance with UCA 26-39-5 (2008).

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 22093

TITLE: Child care provider licensing files

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private.	Utah Code 63G-2-302(d) 2014
Protected.	Utah Code 63G-2-305(10) 2014
Exempt.	Utah Code 26-39-5(501)(6) 2008

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 03/2015.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 16801

3

TITLE: Closed health facility records

DATES: 1982-

ARRANGEMENT: Alphabetical by facility name.

DESCRIPTION:

These are the records of licensed health facilities that are no longer in operation. The file consists of the records of all types of health facilities. The file includes a copy of the license, Health Facility License Application, New Facility Check-Off List, Fire Department Report, and Certificate of Fire Clearance, period of the license, the type of facility, name and address of the facility, name of the administrator and his/her professional license, the number of beds available, the name and address of the sole proprietor, partners, or corporate officers, the type of building, a description of the building, the type of fire fighting equipment; and the date of inspection by the fire marshall.

RETENTION:

Permanent. Retain for 3 year(s) or for 0

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 2 years and then transfer to State Archives with authority to weed.

APPRAISAL:

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

As this record documents the health care facilities available to citizens of the state, the record is of permanent value.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 16801

TITLE: Closed health facility records

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 7978

3

TITLE: Director's correspondence

DATES: 2006-

ARRANGEMENT: None

DESCRIPTION:

These are copies of all correspondence sent to and from the bureau director's office.

RETENTION:

Permanent. Retain for 5 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

AUTHORIZED: 07-12-2018

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 3 years and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s).
These records are business-related correspondence that provides unique information about agency functions, policies, procedures, or programs. The records document material discussions and decisions and may originate on paper, electronic mail, or other media.

PRIMARY DESIGNATION:

Private

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 16791

3

TITLE: Executive correspondence

DATES: 1982-

ARRANGEMENT: Chronological

DESCRIPTION:

Records not duplicated elsewhere that document how the office is organized and how it functions, its pattern of action, its policies, procedures, and achievements. The records include incoming and outgoing copies of correspondence which relate directly to decisions, actions, and procedures of the agency.

RETENTION:

Permanent. Retain for 3 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

AUTHORIZED: 07-12-2018

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and 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, and/or historical value(s). These records are of long-term value because they document the activities of the bureau as a whole and show its policies, achievements, and activities. Records under "1" include letters of transmittal that do not add any information to that contained in the transmitted material; quasi-official notices such as memoranda and other papers that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals and similar papers. Records under "2" relate to the office organization, staffing, procedures, and communications; the day-to-day administration of office personnel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. Also,

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 16791

TITLE: Executive correspondence

(continued)

records that are duplicates of information filed elsewhere.
Records under "3" are not duplicated elsewhere and document how the office is organized and how it functions, its pattern of action, its policies, procedures, and achievements.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 16805

3

TITLE: Facilities under construction file

DATES: 1984-

ARRANGEMENT: Alphabetical by facility name

DESCRIPTION:

These are records created by the bureau in conducting its responsibilities for reviewing architectural plans and specifications for proposed new health facilities or proposed renovations of existing facilities. They include correspondence and billings between the bureau, state and local government agencies, engineering firms, and fire marshalls.

RETENTION:

Retain until final action

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

Paper: Retain in Office until facility is completed and then transfer to related license file.

Paper: Retain in Office until facility is completed and then return to consulting architect.

APPRAISAL:

These records have administrative value(s).

This information is needed to document the bureau's activities in reviewing the construction. Once construction is completed, information may become part of the facility's license file. Note that the plans have been separately scheduled. This is required by UCA 26-21-5(11).

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 25434

1

TITLE: Health care background non-clearance case files

DATES: 1998-

ARRANGEMENT: Alphabetical by surname of applicant

ANNUAL ACCUMULATION: 2.00 cubic feet.

DESCRIPTION:

This series is maintained by the agency as part of its effort to comply with legal mandates outlined in UCA 26-21-9.5 and Utah Administrative Code R432-35. The series includes records documenting agency denial of applicants seeking clearance to work in "covered" health care facilities. The records are maintained to document the process in the event of legal action. Documents in the series include application forms, Criminal Background Screening/Management Information Systems (CBS/MIS) consent and release of liability forms, correspondence, collateral information submitted by the applicant, and court records involving the applicant.

RETENTION:

Retain for 9 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 4 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

APPRAISAL:

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

This appraisal is based on the fact that these records governed by legal mandate and are created with the possibility of litigation in mind.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 16792

3

TITLE: Health care facility licensing records

DATES: 1950-

ARRANGEMENT: Alphabetical by facility name

DESCRIPTION:

These records document the licenses issued by the agency to medical facilities that offer medical services as per UCA 26-21-6(1)(2004), and administrated under Utah Administrative Code R432-1 et seq. (2004). Examples of medical facilities include hospitals, ambulatory medical clinics, ambulatory medical clinics, ambulatory surgical facilities, birthing centers, renal dialysis centers, end stage renal disease facilities, home health care service businesses, nursing homes and residential care facilities. Records include a copy of the license, Health Facility License Application, New Facility Check-off List, Fire Department Report and Certificate of Fire Clearance. Information includes period of the license, name and address of the facility; type of facility; name of the administrator; a copy of the administrator's license; number of beds available; the name(s) and address(es) of the sole proprietor, partners, or corporate officers; type of building; a description of the building, type of fire fighting equipment; date of inspection by the fire marshal and the signature of the facility administrator. Additional records and information may be included, but will vary depending upon the type of facility. When the facility ceases operation records are transferred to the closed health facility records (see record series 16801).

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

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

Paper: Retain in Office until facility is no longer in operation and then transfer to Closed Facilities File.

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. Operations. Division of Licensing and Background Checks.
SERIES: 16792
TITLE: Health care facility licensing records

(continued)

APPRAISAL:

These records have administrative, historical, and/or legal value(s).
As long as the health care facility is in business, the previous license information is needed by the bureau for background information and to uncover any trends or problem areas. In addition, this file documents the type of health care available to the citizens of the state and should not be destroyed. However, some of the records in the file are not record copies, but convenience copies received from other bureaus in the department with a short-term use. These should be weeded out annually.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 7964

3

TITLE: Health care provider inspections and complaint investigations

DATES: i 1979-

ARRANGEMENT: Alphabetical by name of home within date ranges.

DESCRIPTION:

These records support the agency's function to conduct on-site inspections of health care providers to ensure compliance with federal and state laws, regulations, and standards. Records document routine inspections of licensed health care providers, as well as investigations of complaints filed against licensed health care providers. Records may include inspection reports, formal complaints, investigation reports, or a summary statement of deficiencies with provider's plan of action to correct deficiencies.

RETENTION:

Retain for 7 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: 06/2012

FORMAT MANAGEMENT:

Paper: Retain in Office for 6 months and then transfer to State Records Center. Retain in State Records Center for 78 months and then destroy.

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

APPRAISAL:

These records have administrative value(s).

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 7964

TITLE: Health care provider inspections and complaint investigations

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. 63G-2-302(2017)

Controlled. 63G-2-304(2017)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 06/2017.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 16776

3

TITLE: Health Facilities Committee administrative files

DATES: 1981-

ARRANGEMENT: Alphabetical by name

DESCRIPTION:

This is the record of the committee members charged by UCA 26-21-5 with establishing rules and regulations for licensing and inspecting health facilities, their qualifications for the position, and their activities. It includes resumes of the committee members, copies of letter(s) from the governor thanking outgoing member(s) for their work on the committee, routine requests for information, and appointment letters to the members advising them of their appointment and of the duties and responsibilities of the position. Personal information on the members includes age, birthplace, current and past position information, marital status, membership in groups, name, name of kin, occupation, occupational licenses, political affiliations, sex, social security number, telephone number, and publications.

RETENTION:

Permanent. Retain until separation

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

Paper: Retain in Office until individual is no longer a member of the board and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s). Information as to the individuals who made up the committee and their qualifications are of long-term value and should be retained permanently.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 16776

TITLE: Health Facilities Committee administrative files

(continued)

PRIMARY DESIGNATION:

Public Information relating to the members' qualifications and activities.

SECONDARY DESIGNATION(S):

Private. All other information.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 16781

3

TITLE: Health Facilities Committee meetings tape recordings

DATES: 1981-

ARRANGEMENT: Chronological

DESCRIPTION:

These are tape recordings of the committee meetings used to produce the minutes. They include the date and time of the meeting, the individuals present, the topics discussed, and any decisions reached.

RETENTION:

Retain until approval of minutes

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

FORMAT MANAGEMENT:

Sound recordings: Retain in Office until committee approves minutes and then erase.

APPRAISAL:

These records have administrative value(s).

Once the minutes have been prepared and approved, this record becomes redundant. See also General Retention Schedule 21 Item 46.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 22094

3

TITLE: Health facilities change of ownership files

DATES: 1997-

ARRANGEMENT: Alphabetical by facility name

ANNUAL ACCUMULATION: 5.00 cubic feet.

DESCRIPTION:

These files document the change of ownership of health care facilities. The files identify the legalities of the change of ownership and the acceptance of sales conditions by both parties. Information includes the sales and lease agreements.

RETENTION:

Permanent. Retain for 7 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: 11/1999

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 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.

APPRAISAL:

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

PRIMARY DESIGNATION:

Protected

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 16778

3

TITLE: Health facilities committee meetings minutes

DATES: 1981-

ARRANGEMENT: Chronological

DESCRIPTION:

These are the minutes of the meetings of the above committee, created under UCA 26-1-7 to establish the rules for licensing and inspecting health facilities in the state. UCA 26-21-3(2) requires this committee to meet at least quarterly. These records include agendas, meeting notices, and the minutes. Information includes the date and place of the meeting, the time of the meeting, the individuals present, the topics discussed, and any decisions reached.

RETENTION:

Permanent. Retain for 2 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

AUTHORIZED: 10-28-2020

FORMAT MANAGEMENT:

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

APPRAISAL:

These records have administrative, and/or historical value(s). This is a rule making body of the state, and, as such, a record of its activities is of permanent value.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 16778

TITLE: Health facilities committee meetings minutes

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 16788

3

TITLE: Health facilities procedures manuals

DATES: 1983-

ARRANGEMENT: None

DESCRIPTION:

These are procedures manuals sent to the bureau by health facilities for their approval. Once these procedures have been approved, they are usually returned to the facility. However, the bureau does retain some to use as models. These records include manuals for McKay Dee Hospital Center, South Ogden Elderly Care Center, and Mountain View Pavillion.

RETENTION:

Retain until administrative need ends

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

Paper: Retain in Office until no longer administratively valuable and then return to facility or destroy.

APPRAISAL:

These records have administrative value(s).

This record is used only as a reference tool and may be disposed of when no longer needed.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 16785

3

TITLE: Health facilities rules and regulations

DATES: 1984-

ARRANGEMENT: Alphabetical by type of facility

DESCRIPTION:

These are the rules and regulations passed by the Health Facilities Committee that regulate health facilities in the state. They include regulations on abortion clinics, birthing centers, home health agencies, hospitals, nursing care facilities, mental disease facilities, residential self-help facilities, residential health care facilities, and small health care facilities.

RETENTION:

Permanent. Retain until superseded

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

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

APPRAISAL:

These records have administrative, and/or historical value(s).
The rules of the agency document the activities of the bureau and should be retained.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 16786

3

TITLE: Health facilities rules and regulations working papers

DATES: 1987-

ARRANGEMENT: None

DESCRIPTION:

These are the background papers and draft copies of the regulations and rules governing health care facilities.

RETENTION:

Permanent. Retain until final action

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

Paper: Retain in Office until final rule or regulation is passed and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s). This record would be of interest to researchers as it shows the evolution of the regulations from conception to the final product. Note that no date span or volume is given because all draft copies have been destroyed. The retention is for future use.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 23822

3

TITLE: Health facility licensing rules

DATES: 1994-

ARRANGEMENT: Chronological

DESCRIPTION:

This series contains updated extracts of the Utah Administrative Code database. The licensing rules for health facilities are developed under the direction of the Health Facility Committee by the Utah Department of Health in cooperation with provider associations, health care professionals, and consumers. The rules provide standards for general licensing, facility construction, and program design.

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.

APPRAISAL:

These records have historical value(s).
Records in this series document licensing rules.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 23822

TITLE: Health facility licensing rules

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 14138

1

TITLE: Internal administrative correspondence

DATES: 1982-

ARRANGEMENT: Chronological

DESCRIPTION:

Records of a general nature which would be created in the course of administering agency programs. Information could include office organization, staffing, procedures, and internal communications.

RETENTION:

Retain for 3 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 3 years or until administrative need ends, whichever is shorter and then destroy.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 16802

3

TITLE: Joint commission of accreditation of hospitals report files

DATES: 1982-

ARRANGEMENT: Alphabetical by hospital name

DESCRIPTION:

These are reports of hospitals accredited by the Joint Commission of Accreditation of Hospitals. They include the name and address of the hospital, the telephone number, a description of the physical facilities, the use of the building, its fire protection characteristics, exit characteristics, the hospital provider identification number, a copy of survey inspections conducted by the Division of Health Care Financing, a statement of deficiencies and corrections, a summary of deficiencies not corrected, and a copy of post certification revisit reports.

RETENTION:

Retain for 3 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

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

APPRAISAL:

These records have administrative value(s).

The Joint Commission recertifies hospitals every three years.

Once a new certification is received, the old one may be disposed of. According to 42 CFR 405.1901(d), hospitals accredited by the Joint Commission are eligible to participate in medicare.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 8176

1

TITLE: Medical facilities building plans

DATES: 1955-

ARRANGEMENT: None

DESCRIPTION:

These are architectural plans of health care facilities submitted to the bureau for their review to ensure that all state codes and federal regulations are complied with. This record includes the name and address of the facility, the name and address of the architects and engineers, the date of the plan and the dates of any revisions, the date the plan was received by the bureau, and the scale of the floor plan. Microfilming was discontinued in the early 1990s. The facility may request the return of the plan after its retention has been met and prior to its destruction.

RETENTION:

Retain for 1 year(s) after end of project or program

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

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

FORMAT MANAGEMENT:

Paper: For records beginning in 1970 through 1992. Retain in Office for 6 months or until microfilmed and then destroy provided microfilm has passed inspection.

Microfilm master: For records beginning in 1970 through 1992. Retain in State Records Center for 1 year after completion of the project and then destroy.

Microfilm duplicate: Retain in Office for 1 year after completion of project and then destroy.

Paper: For records beginning in 1992 and continuing to the present. Retain in Office for 1 year after completion of project and then destroy.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 8176

TITLE: Medical facilities building plans

(continued)

APPRAISAL:

These records have administrative value(s).

This disposition is based on the careful reexamination of the administrative needs expressed by the agency. Previous decision: 1986: until no longer needed administratively.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 3493

4

TITLE: Medicare/Medicaid provider certifications

DATES: i 1970-

ARRANGEMENT: Chronologic by survey exit date

ANNUAL ACCUMULATION: 40.00 cubic feet.

DESCRIPTION:

Certifications for health care providers who wish to receive medicare/medicaid payments. The certification process is mandated by 42 CFR Section 442(1994) and is designed to ensure quality care and safety for recipients. Series information includes copies of the facility license, license applications, provider medicaid agreements, fire safety survey reports, medicare/medicaid certification and transmittal forms, statements of deficiencies and correction plans, post certification revisit reports, summaries of deficiencies not corrected, requests for certification, disclosures of ownership, control interest statements, facility survey notes and reports, and laboratory personnel qualification appraisals.

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: 08/1996

FORMAT MANAGEMENT:

Paper: Retain in Office for 6 months and then transfer to State Records Center. Retain in State Records Center for 78 months and then destroy.

Digital image: Retain in Office for 7 years and then delete.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 3493

TITLE: Medicare/Medicaid provider certifications

(continued)

APPRAISAL:

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

This disposition is based on the administrative and legal needs expressed by the agency. According to 42 CFR 442.15 and 42 CFR 442.110 (1994) the provider agreement and certification are both good for only 12 months. The federal government requires this information, they do not specify the retention period. This information may be needed if legal action were to be taken against a health care provider.

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. UCA 26-3-7(2008)

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 16803

3

TITLE: Provisionally licensed facility files

DATES: 1983-

ARRANGEMENT: Alphabetical by facility name

DESCRIPTION:

These are the files of health care facilities that have applied for a license but do not meet requirements for licensing. If the deficiencies that prevent the licensing are minor, a provisional license for ninety days is issued to allow the facility time to make corrections. These files include application for a facility license, a licensure check-off list, and correspondence, period of the license, the type of facility, name and address of the facility, name of the administrator and his/her professional license, the number of beds available, name and address of the sole proprietor, partners, or corporate officers, the type of building, and a description of the building.

RETENTION:

Retain until final action

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

Paper: Retain in Office until final licensing decision is made and then transfer to appropriate facility license file.

APPRAISAL:

These records have administrative value(s).

This is only a temporary records series caused by a temporary situation.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 16803

TITLE: Provisionally licensed facility files

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 16782

3

TITLE: Public hearings minutes

DATES: 1981-

ARRANGEMENT: Chronological

DESCRIPTION:

These are the minutes of public hearings held on proposed rule changes. These records include copies of the meeting notices, proof of publication, and the meeting minutes. Information from the minutes includes the date of the notice, the date and location where the notice was published, the date and time of the meeting, the place of the meeting, the subject of the meeting, the individuals present, what was discussed, and any decisions reached.

RETENTION:

Permanent. Retain for 2 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

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

APPRAISAL:

These records have administrative, and/or historical value(s).
These records have research value as they document what input went into the formulation of state rules. Note that the volume is very small because a member of the staff went through this file and threw much it away.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 16784

3

TITLE: Public hearings tape recordings

DATES: 1981-

ARRANGEMENT: Chronological

DESCRIPTION:

These are the tape recordings of public hearings made so that accurate minutes can be produced. They include the time and place of the meeting, the individuals present, the topics discussed, and any decisions reached.

RETENTION:

Retain until approval of minutes

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 03/1987

FORMAT MANAGEMENT:

Sound recordings: Retain in Office until committee approves minutes and then erase.

APPRAISAL:

These records have administrative value(s).

Once the minutes have been prepared and approved, this record becomes redundant. See also General Retention Schedule 21 Item 46.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 23821

3

TITLE: Report cards for assisted living facilities

DATES: 1997-

ARRANGEMENT: Chronological

DESCRIPTION:

The Bureau of Licensing promotes the delivery of quality health care services through inspecting, licensing and monitoring health care providers. The Report Cards for Assisted Living Facilities are published on a yearly basis. The results of surveys and complaint investigations filed during the previous year provide the basis for the reports. The reports include the following information: a listing of all licensed facilities, a deficiency summary, a consumer guide, individual facility reports, and a guide to reading the published information.

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.

APPRAISAL:

These records have historical value(s).

These report cards document whether nursing facilities are in compliance with requirements and contribute to transparency.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 23821

TITLE: Report cards for assisted living facilities

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 25431

3

TITLE: Unlicensed child care provider case files

DATES: 1997-

ARRANGEMENT: Alphabetical by provider name.

ANNUAL ACCUMULATION: 0.30 cubic feet.

DESCRIPTION:

This series contains case files created by the agency to document complaints of unlicensed child care providers and ensuing investigations. The files include complaints, investigation documents, and investigation results.

RETENTION:

Retain for 3 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Grievance records, GRS-1967.

AUTHORIZED: 07-01-2015

FORMAT MANAGEMENT:

Paper: For records prior to and including 2010. Retain in Office for 1 year after case closes and then transfer to State Records Center. Retain in State Records Center for 2 years and then destroy.

Computer data files: Retain in Office for 3 years after case closes.

APPRAISAL:

These records have administrative, and/or legal value(s).
This appraisal is based on the fact that records in this series may document investigations that eventually lead to legal action.

AGENCY: Department of Health and Human Services. Operations. Division of Licensing and Background Checks.

SERIES: 25431

TITLE: Unlicensed child care provider case files

(continued)

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 07/2015.