



Idaho Records Center

A Program of the Idaho State Archives

*Idaho Department of Health and Welfare
Behavioral Health
Schedule of the
Records Management Guide*

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APPENDIX 9: RECORDS RETENTION SCHEDULE FOR STATE GOVERNMENT AGENCIES

GUIDELINES

A record is recorded information, in any form, including data in computer systems, created or received and maintained by an organization or person in the transaction of business or the conduct of affairs and kept as evidence of such activity.

The following records retention schedule is reviewed and modified, if necessary, on a yearly basis. The schedule is designed to be a reference in designing individualized agency retention schedules and to provide a level of uniformity in records retention throughout Idaho state government. The State Record Center, Department of Administration, should be contacted regarding proposed changes or modifications to the records in this schedule, or if activities of an agency require different retention.

All retention periods are filed by either the fiscal or calendar year. For all UNANNOTATED DUPLICATE COPIES, preferably destroy immediately after administrative need ends by either the fiscal or calendar year.

INTRODUCTION TO RECORDS RETENTION SCHEDULE

This schedule is intended for use within an agency's records management program. Regardless, until an agency creates a version of this records retention series specific to its facilities, these are the accepted and established time frames and limitations that should be adhered to.

Retention Schedule Headings Definitions	
Series #	Number associated with each schedule type
Series Title	A general description of the series
Office of Record	Office that commonly creates the record and holds it during its active period
Retention Period	Time to retain the record; life of the record
Transfer Instructions	Where a record goes after its active period
Archival	A – Indicates the record is or may be permanent and have historic value R – Indicates a required review by the Records Manager to determine value
Vital	X – Record is vital for immediate operation of the office of origin or the institution.
Guidance: Restricted Access	RA – Refers to the security needs of a record series. Must be justified. <i>Access to applicable records should be limited to authorized personnel and approved individuals due to privacy and educational interests. Questions about limits should be based on the type of records, its content and the nature of the request for access and use.</i> Records may contain, but are not limited to, confidential, personal or proprietary information.
Guidance: Authorities	Federal and State laws, regulations or requirements that pertain to the series. Where not specifically referenced, Idaho Code § 9-337 through 9-347 of the Public Records Law has been applied. Note that there are exemptions for the access requirements of this law. These may be noted as well.

Retention Codes (Refer to Records Regardless of Format; Type May Vary)	
AC	After closed, terminated, completed, expired, settled or last date of contract
AV	As long as administratively valuable
CE	Calendar Year End (December 31 st)
FE	Fiscal Year End (June 30 th)
LA	Life of Asset
PM	Permanent
UA	University Archives
US	Until Superseded

HOW TO USE THESE SCHEDULES

ESTABLISHING A SCHEDULE

This schedule assumes that:

- The person using it is knowledgeable about his/her office or agency's records;
- An inventory of the records of the office or agency will be performed;
- Time will be taken to apply the definitions to the records found on hand; and
- Records will not be destroyed or reorganized without supervision of the agency's Records Manager or consultation with the State Archivist.

FUNCTIONS AND TYPES OF RECORDS

This schedule is intended to address records common to most offices and agencies of the State of Idaho. Not every type of record listed here will occur in every agency. Some agencies will discover they have records that do not appear to fit any of these series. For those records, contact the State Archivist or the agency's Records Manager for guidance.

HIERARCHY OF RECORDS WITHIN AN AGENCY

Put simply, not every office holding a copy of a record is holding the *record copy*. An example is time sheets. The record copy of a time sheet is the one signed and sent to the payroll office. Any copies kept in other offices to confirm later payroll reports (e.g., proper charges to accounts, etc.) are a short-term record, as are any personal copies in other offices. The Office of Record is the payroll office.

When trying to assess the value of a record in the focus area, bear this concept in mind: Where does the ultimate responsibility for a document, report or record lie? There are instances where a record has value for different reasons in different offices. This is the primary reason a physical inventory of records is essential to this process.

WHEN A RECORD SHOULD BE RETAINED LONGER THAN ITS RETENTION

Documents, regardless of format or storage media (e.g., electronic files), associated with any dispute, audit or legal proceeding should not be destroyed or altered without consultation with the agency's Records Manager, General Counsel, Deputy Attorney General or the State Archivist.

CONFIDENTIALITY, RESTRICTED ACCESS AND PUBLIC RECORDS

The need to limit access to a record type does not mean that it is unavailable as a public record.

- Requests for access to public records should be handled by personnel familiar with the requirements of the laws and regulations that apply to the information requested; and
- For some records flagged in this schedule as “RA – Restrict Access,” copies can be furnished where restricted information is blocked out or redacted to make it available to a public records request. An example is a contract that may be copied if social security number, names, etc., have been obscured.

Concerns about making records available to a public records request should be addressed to the agency’s Records Manager, General Counsel, Deputy Attorney General or the State Archivist.

CREATING AN AGENCY’S RETENTION SCHEDULE

Once an inventory is completed and a summary of the record series which occur in the agency’s office has been compiled, based on this general schedule, a set of decisions will need to be made to establish the Office of Record for each record type. **NOTE:** For many common series, like “correspondence,” the Office of Record will probably be the “office of origin” until it is time to transfer the inactive years of material to the State Archives. Other records have obvious “homes,” like payroll records (Accounting or Payroll) and permanent or long-term personnel files (Human Resources). It should be noted that smaller-scale agencies may find that a central office becomes the Office of Record for many record types because of staffing or the preference of the agency director. For agencies with regional offices around the State, these decisions may seem problematic. However, with a careful focus on the needs of the offices within an agency and by consulting the State Archivist, these decisions can be made to the benefit of all.

One of the established benefits of records management, with improved accountability of the Office of Record, is efficiency, in both expense and time, of being able to retrieve a record when it is truly needed, without multiple copies taking up space throughout an agency or an office.

HOW TO USE THE RETENTION SCHEDULE FORMAT

Please consider the sample inserted below. Microsoft Excel was used to create this version of the retention schedule document. The fields of the table should be adhered to for compatibility with other State agencies and offices within a given agency.

The *Records Retention Form*, an online Excel fill-in form document, may be accessed at http://adm.idaho.gov/purchasing/record_cnt.htm.

SAMPLE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0110	PERIODIC BUDGET REPORTS Monthly or routine reports on the status of agency appropriation accounts and apportionment, excluding Annual Budget Reports.		FE +3, then destroy			
SG1310	LOSS CONTROL INSPECTION REPORTS An annual self-inspection report used to identify potential hazards within the building or on the agency property. This record may also be used as evidence in defense of a claim. GUIDANCE: - Retain by agency until superseded or obsolete, then send to Risk Management.	Risk Man- age-ment	US +12, then destroy			
SG18312	STUDENTS - FINANCIAL AID RECORDS - FFEL AND DIRECT LOANS Records related to borrower's eligibility and participation. All audit requirements to be met prior to disposal. GUIDANCE: - AC - End of the award year in which the student last attended. - Retention based on 34 CFR § 668.24		AC +3, then destroy			RA -Access: FERPA, Confidential Record.
SG18559	COMPUTER SYSTEMS - HARDWARE DOCUMENTATION Operational and maintenance requirements of computer hardware, such as operating manuals, hardware configurations, control systems. GUIDANCE: - Series may relate to property management schedules.		PM	A	X	RA -Access may be re- stricted as part of facility se- curity plans.

NOTE: A column may be added for specific agency series numbers to allow for associating a records series with an in-house procedure or policy.

RECORDS MANAGEMENT GUIDE

APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, DIVISION ADMINISTRATOR'S OFFICE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4001	<p>DIVISION ADMINISTRATOR'S OFFICE RECORDS</p> <p>Series provides a record of the administrative activities of the Division Administrator's office such as management leadership of the Division.</p> <p>Records may include: correspondence, memos, policies, statistical and narrative reports, draft budget data, and financial reports.</p> <p>Also may include: minutes, agendas, tape recordings, and committee records.</p> <p>Records may also include constitution and by-laws, intergovernmental agreements, organization charts, draft and approved budgets, other documents preserving historical events of the Division and/or its leadership.</p>		PM	A	X	
SG4002	<p>DIVISION ADMINISTRATOR'S OFFICE COMPLAINT AND INVESTIGATION RECORDS</p> <p>Series documents complaints (that originate in the Division Administrator's Office) brought against the Department, its policies/procedures, or its employees alleging violation of laws and/or administrative rules that govern operation of the Department and documentation of any resulting disciplinary actions.</p> <p>Records may include, but are not limited to: correspondence; description of complaint; case files; legal notices and orders; hearing records; audio recordings and transcripts; license and certificate records; exhibits; investigative reports; working notes and files; investigation committee records, minutes, and agendas; and related correspondence and documentation.</p>		AC + 7, then destroy			

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

Vital: X-Record is vital for immediate operation of the office of origin or the institution

Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, DIVISION ADMINISTRATOR’S OFFICE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG18503	ADMINISTRATION – CORRESPONDENCE - EXECUTIVE Correspondence pertaining to the programs, administration, etc. of an agency or its offices. GUIDANCE: - See also Idaho Code § 9-340E, Exemptions from Disclosure.		PM	R	X	RA –May be restricted due to personal information.
SG18504	ADMINISTRATION – CORRESPONDENCE - GENERAL Correspondence pertaining to the routine operations of an agency or its offices. GUIDANCE: - See also Idaho Code § 9-340E, Exemptions from Disclosure.		AC +3, then destroy			RA –May be restricted due to personal information.
SG18507	ADMINISTRATION – DIVISION RECORDS Series documents the activities, decisions, and reports of divisions that oversee or advise programs or functions of the agency. Records may include: Division agendas, staff-level meeting minutes, proposed budgets, reports and routine correspondence. NOTE: Division minutes and correspondence may become part of agency history that is permanent. Some materials may warrant long-term retention.		AC +3, then destroy			R

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, DIVISION ADMINISTRATOR’S OFFICE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG18508	ADMINISTRATION – DONATION / GIFT RECORDS Records documenting the donation of archival material, artifacts, manuscripts, and publications to the agency. May include descriptive lists, transfer of publication/copyrights, restrictions. <i>GUIDANCE:</i> - See also Idaho Code § 9-340E, Exemptions from Disclosure.		PM			RA –Access may be restricted due to contents of documentation, especially with artifacts, and cultural resources.
SG18512	ADMINISTRATION – FORMS – RECORDS INVENTORY Lists of all record series used by an agency, resulting from inventory.		PM	A	X	
SG18513	ADMINISTRATION – MAIL AND TELECOMMUNICATIONS LISTINGS Any records listing address, phone numbers, fax numbers or email addresses.		US, then destroy			RA –May be restricted due to personal information, security of individuals.

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Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, DIVISION ADMINISTRATOR’S OFFICE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG18514	ADMINISTRATION – MEETINGS – AGENDA AND MINUTES Official minutes and agenda of open meetings. <i>GUIDANCE:</i> - The archival requirement will be met by sending a copy to State Archives. - Final version - Approved formal minutes by the governing body.		PM	A	X	
SG18515	ADMINISTRATION – MEETINGS - CLOSED Certified agendas or tape recordings of closed meetings. <i>GUIDANCE:</i> - See also Idaho Code § 9-340E, Exemptions from Disclosure.		PM	A	X	RA–May be restricted depending on content.
SG18516	ADMINISTRATION – ORGANIZATION CHARTS Any documentation that shows program accountability.		PM	A	X	
SG18517	ADMINISTRATION – PLANS AND PLANNING RECORDS Plans, etc. relating to planning new or redefining programs, services, etc.		PM	A	X	

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, DIVISION ADMINISTRATOR’S OFFICE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG18518	ADMINISTRATION – PROPOSED LEGISLATION Drafts of proposed legislation and related correspondence.		AC +3, then destroy			
SG18520	ADMINISTRATION – STRATEGIC PLANS Information resources and operational strategic plans.		PM	A	X	
SG0308	TELEPHONE MESSAGES Incoming and outgoing telephone messages.		AC +2 months, then destroy			
SG0307	TELEPHONE MESSAGE REGISTERS Message registers, logs, performance reports, daily load reports, and related or similar records.		AC +6 months, then destroy			

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4003	DIVISION ADMINISTRATOR’S OFFICE – CORRESPONDENCE Correspondence pertaining to the Division Administrator's Office and/or his management assistant. Correspondence that is not included in or directly related to another record series in this schedule.		PM	R	X	RA – Access may be restricted due to content, Social Security numbers, etc., attorney-client, or proprietary information.
SG1821	ADMINISTRATIVE - CORRESPONDENCE - GENERAL TRACKING RECORDS Any record to track incoming / outgoing mail, correspondence, etc.		AC +1, then destroy			
SG1824	ADMINISTRATIVE - DESK CALENDARS / APPOINTMENT BOOKS Document appointments, itineraries, etc. of an agency official or employee.		CE +1, then destroy			RA -While active, these records may be restricted to secure officials and employees.
SG18519	ADMINISTRATION – STAFF MEETING MINUTES Minutes from internal agency staff meeting.		PM	A	X	

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0201	CARTOGRAPHIC RECORDS Cartographic records include maps (printed, automated, and microfilmed, aerial photography, globes, models, raised relief maps, and remote sensing imagery. These records have a special place in preserving the history of Idaho and should be regularly inventoried and if in electronic form, regularly upgraded and migrated.		PM			Contact State Archivist.
SG1825	ADMINISTRATIVE – DIRECTIVES Documents that officially initiate, amend, etc. general office procedures.		PM	A	X	
SG1879	EQUIPMENT - MANUALS		LA, then destroy			
SG1827	ADMINISTRATIVE - EXECUTIVE ORDERS Documents that initiate, etc. procedures that govern an agency and its programs.		PM	A	X	

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, DIVISION ADMINISTRATOR'S OFFICE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG18154	FISCAL - SIGNATURE AUTHORIZATIONS Records authorizing an employee to initiate financial transactions for the agency.		US +FE +3, then destroy			RA -Access may be limited to protect financial systems.
SG1835	ADMINISTRATIVE - OFFICE PROCEDURES Any manual, etc. that established standard office procedures.		PM	A	X	
SG1837	ADMINISTRATIVE - PHOTOCOPIER USE LOGS AND REPORTS		AC + 1, then destroy			
SG1839	ADMINISTRATIVE - PUBLICATION DEVELOPMENT FILES Background material, drafts, original artwork etc. used in publication.		AC +3, then destroy	R		RA -Some materials may have archival value, ex: artwork.

LEGEND:

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SG1840	ADMINISTRATIVE - REQUISITIONS FOR IN-AGENCY COPY / PRINTING SERVICE Includes word processing and data processing.		AC +1, then destroy			
SG1842	ADMINISTRATIVE – RULES, POLICIES AND PROCEDURES Manuals, guidelines, etc. that set out rules, policies, etc. that govern an institution's programs.		PM	A	X	
SG1843	ADMINISTRATIVE - SPEECHES AND PAPERS Notes or text or speeches, papers, etc. delivered in conjunction with work.		PM	A	X	
SG18526	Annual Reports Series provides a record of the primary functional activities and accomplishments of the agency for the previous year. Reports may include narratives, statistics; graphs; diagrams; member lists; descriptions of programs; events and exhibits; and annual financial statements.		PM	A	X	

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SG18269	REPORTS - BIENNIAL OR ANNUAL AGENCY – NARRATIVE Narrative reports sent to the governor and legislature as required by statute.		PM	A	X	
SG18270	REPORTS - REPORTS ON PERFORMANCE MEASURES Reports on agency performance submitted to executive and legislative budget offices. GUIDANCE: - Cut-off date of July 1st of odd-numbered calendar years.		PM	A	X	
SG0631	TELEPHONE BILLS Bills which document calls made from state offices. Bills also include the number called and the length, time, and date of phone call. GUIDANCE: - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG0632	TRAVEL AND TRANSPORTATION FILES Correspondence, forms, and relating records pertaining to agency travel and transportation functions, not covered elsewhere in this schedule. GUIDANCE: - Retain by agency 3 years or after audit.		AC +3, then destroy			

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SG1201	AGENCY COMMENDATION FILES Letters of commendation received by agency which impart important information or observations about agency programs or operations, but which do not belong in an individual's personnel file.		PM			Contact State Archivist.
SG1202	COMPLAINT / INFORMANT FILES Whistle-blower, fraud, and criminal complaints. Includes anonymous letters, complaints, criticism and suggestions, and agency replies thereto. Also includes those complaints which were the basis of an investigation or from which administrative action was taken, and those incorporated into individual personnel files.		AC +7, then destroy			

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, ADMINISTRATIVE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0001	ACKNOWLEDGMENT FILES Acknowledgment, transmittal of inquiries, and requests that have been referred elsewhere for reply. <i>GUIDANCE:</i> - AC - After acknowledgement and/or referral.		AC +1, then destroy			
SG0002	ADMINISTRATIVE HEARING TRANSCRIPTS Transcripts of hearings conducted as part of the regulatory process and hearings on proposed rules and changes; they may be maintained with related information including meeting notices, proofs of publications, meeting minutes, and the conclusions reached. May include audio and video recordings if minutes are not taken.		PM			Contact State Archivist.
SG0003	ADMINISTRATIVE REFERENCE / READING FILES Record of all memoranda and correspondence generated by another agency for general reference by all agency employees.		AV or 1, then destroy			

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, ADMINISTRATIVE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0004	ADMINISTRATIVE RULE RECORDS Also known as the administrative record. Information an agency relies upon when making a rule including copies of the proposed rule, change in the proposed rule, and the rule analysis; the public comment received and recorded by the agency during the public comment period; the agency's response to the public comment; the agency's analysis of the public comment; and the agency's report of its decision-making process. Also may include records and other information used by agencies to support rule-making decisions. Agencies are required to file the administrative record along with their responsive pleadings with the court when the rule is challenged.		AC +4, then destroy.			
SG0005	ADMINISTRATIVE RULEMAKING FILES Papers of short-term interest which have no documentary or evidential value. Includes transmittal correspondence, copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply; and quasi-official notices such as for holidays, charity, and fund appeals, bond campaigns, and other similar papers.		AV or 1, then destroy			

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, ADMINISTRATIVE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0006	AGENCY WRITTEN HISTORIES Scrapbooks, photographs, articles, program notes and documentation of events sponsored or funded by an agency. Also included are narrative audio or audio-visual agency histories. This series documents the efforts of an agency or unit to provide informative sessions, short-courses, workshops, training programs, excursions, and celebratory events for members of the institution and the communities it serves. This series may include but is not limited to: materials on planning and arrangements; reports; promotional and publicity materials; press releases and news clippings; photographs; presentation materials and handouts; schedules of speakers and activities; registration and attendance lists; participant evaluations; and related documentation and correspondence.		PM			Contact State Archivist.
SG0007	ATTORNEY GENERAL'S OPINIONS Legal interpretations written at the request of an agency asking for guidance in enforcing, obeying, and/or interpretation of the law.		PM			Contact State Archivist.

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, ADMINISTRATIVE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0008	COMMITTEE AND ADMINISTRATIVE HEARING RECORDINGS Audio and video recordings which document what transpired at committee and board meetings, conferences, and administrative hearings. NOTE: If summary minutes of these meetings are not taken, the recordings are permanent and should be transferred to appropriate storage. Contact State Archivist. GUIDANCE: - AC - After meeting minutes have been approved.		AC +1, then destroy			
SG0009	COMMITTEE AND CONFERENCE FILES Records created by a committee or conference, including advisory committees, relating to executive establishment, organization, membership, and policy. Includes agenda, meeting minutes, final reports, and related records documenting the accomplishments of official boards and committees. May include audio and video recordings if minutes are not taken.		PM			Contact State Archivist.

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, ADMINISTRATIVE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0010	DAILY ACTIVITY SCHEDULES Records regarding State employees who are not executives or exempt status containing substantive information relating to official activities, the substance of which has not been incorporated into official files. Includes calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of employees. Records containing substantive information relating to the official activities of high-level officials which are not incorporated into memoranda, reports, correspondence, or other records included in the official files. Include calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of the employees.		AC +1, then destroy.			
SG0014	EXECUTIVE CORRESPONDENCE Records not duplicated elsewhere that document how the office is organized and how it functions, its pattern of action, its policies, procedures and achievements. Includes electronic mail that communicates the above.		PM			Contact State Archivist.
SG0015	FEASIBILITY STUDIES Studies conducted before the installation and implementation of any technology, equipment, process, or procedure. Includes studies and systems analysis for the initial establishment and major changes of these systems.		PM			Contact State Archivist.

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SG0016	FINDING AIDS Indices, lists, catalogues, registers, and other finding aids necessary for the efficient use of other records. <i>GUIDANCE:</i> - AC - Until records to which they pertain are destroyed or destroy when no longer needed for reference.		AC, then destroy			
SG0017	FORMS DEVELOPMENT FILES Working papers, background materials, requisitions, specifications, processing data, and control records which provide documentation to the creation and establishment of a form.		US +1, then destroy			
SG0018	CORRESPONDENCE (ROUTINE) Internal or external correspondence regarding general program information duplicated elsewhere, which does not include policy decisions or directives, how the office is organized, how it functions, its pattern of action, procedures, or achievements. Records that are general in nature and do not relate directly to PRIMARY program responsibilities of an office or agency. Letters of appreciation, congratulations, charity fund, parking assignments. 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. Includes electronic mail that communicates the above.		AC +3, then destroy			

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SG0020	INCOMING DOCUMENT LOG Records which provide detailed information on incoming documents that require distribution or action.		AC +1, then destroy			
SG0021	INTERNAL ADMINISTRATIVE CORRESPONDENCE		AC +2, then destroy			
SG0022	INTERNAL COMMITTEE AND CONFERENCE FILES Records relating to executive establishment, organization, membership, and committee policy to handle problems or issues within an agency. <i>GUIDANCE:</i> - AC - After termination of committee.		AC +2, then destroy			
SG0023	LITIGATION CASE FILES Document judicial proceedings, which involve the state agency. Files include some or all of the following documents: affidavits, summons and complaints, responses, orders of dismissals, notice and general appeal, laws and regulations applying to a particular case, legal briefs, transcripts of proceedings, orders, court decisions, and related information.		PM			Contact State Archivist.

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SG0024	MAILING LISTS Lists of individuals, companies, or other entities with which the agency corresponds. Information includes street addresses, electronic mail addresses, and phone and FAX numbers.		US, then destroy			
SG0025	MANAGEMENT IMPROVEMENT REPORTS Reports on analysis and implementation of programs and operation of those programs.		AC +10, then destroy			
SG0026	ORGANIZATIONAL FILES Records detailing an organization, which could include charts and reorganization studies. Also administrative maps that show regional boundaries and headquarters of decentralized agencies or that show the geographic extent or limits of an agency's programs and projects. Formally prepared descriptions of the responsibility assigned to the senior executive officers of an agency at the division level and above.		PM			Contact State Archivist.
SG0028	PENDING FILES Papers arranged in chronological order as a reminder that action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date. <i>GUIDANCE:</i> - AC - Retain until incorporated into official file when reply is received or action taken, retain in conjunction with that record series.		AC			

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SG0029	PERFORMANCE AUDIT REPORTS These are reports written and prepared as a result of a performance audit on state agencies. They contain summary documentation on agencies programs, operations and productivity. The reports may be prepared by internal and/or external resources.		PM			Contact State Archivist.
SG0030	POLICIES AND PROCEDURES MANUAL Policies and procedures that govern the operation and administration of various programs within the organization.		PM			Contact State Archivist.
SG0031	POLICY AND PROCEDURE CASE FILES Case Files related to policy and procedure issuances which document the development of the issuance. Includes issuances related to routine administrative functions (e.g., payroll, procurement, and personnel).		US +2, then destroy			
SG0032	PROPOSED LEGISLATION RECORDS Records created by governmental agencies for the purpose of proposing legislation. They contain correspondence, memoranda, research information on proposed legislation, fiscal notes, summaries, estimated cost reports, impact statements, and other information documenting the proposed legislation.		PM			Contact State Archivist.

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SG0033	PUBLICATIONS Documents created by the agency, including pamphlets, reports, leaflets, file manuals, annual reports, other published or processed documents, and the last manuscript report, if not published, relating to management projects. Electronic versions of publications may be considered a duplicate if identical. GUIDANCE: - Creating agency shall transfer one copy to State Archives when published.		PM			
SG0034	PUBLIC RECORD REGISTER SHEETS Descriptive listings of agency records transferred to the State Archives. Information includes records series number, agency name and address, record series title and inclusive dates, classification information, accession number, agency box number, description of box contents, and date of transfer.		Retain by agency for reference			
SG0035	RECORDS DISPOSITION FILES Records which document the destruction of a governmental agency's records, such as destruction letters or destruction logs.		PM			Contact State Archivist.

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SG0036	RECORDS MANAGEMENT FILES Records used in creating and establishing records management programs. They may contain records inventories, correspondence, classification designations, records control, equipment, filing procedures/manuals, training information, and other documents created by the State Archives and other agencies to facilitate records management practices. May also contain information on records management equipment and/or computer software.		PM			Contact State Archivist.
SG0037	RECORDS TRANSFER SHEETS Descriptive listings of agency records transferred to the State Records Center. Information includes record series number, agency name and address, Records Officer's name and signature, Chief Administrative Officer's name, record series title and inclusive dates, CLASSIFICATION information, accession number, agency box number, description of box contents, and records center box location.		AC +5, then destroy			
SG0038	TECHNICAL REFERENCE FILES These are documents retained strictly for reference and informational purposes which are not part of any other official files. They include copies of reports, studies, special compilations of data, drawings, periodicals, books, clippings, extra (non-record) copies of policy and procedure files, brochures, catalogs, vendor price lists, and publications prepared internally and externally.		AV or 1, then destroy			

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0042	WORKING PAPERS Papers which have a short-term use and comprise the background records, such as preliminary studies, drafts, analyzes, notes, interim reports regarding a particular case files, and financial performance audits.		AV, then destroy			

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, BUDGET RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0101	BUDGET REPORTS, ANNUAL Agency reports at the end of the fiscal year on the status of appropriation accounts and apportionment.		PM			Contact State Archivist.
SG0102	GRANT MONTHLY REPORTS, BLOCK Monthly reports on grants received by State agencies from the Federal Government, which may contain applications, notice of award, program reports, and correspondence.		AC +3, then destroy			
SG0103	GRANT YEARLY REPORTS, BLOCK Annual reports on grants received by State agencies from the Federal Government, which may contain applications, notice of award, program reports, and correspondence.		PM			Contact State Archivist.
SG0104	BUDGET ALLOCATION FILES Allocation and re-allocation schedules, proposing monthly obligations under each authorized appropriation.		AC +3, then destroy			

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, BUDGET RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0109	GRANT CONTROL FILES Indices, registers, logs, or other records relating to control of assigning numbers or identifying projects, applications, and grants.		US, then destroy.			
SG0110	PERIODIC BUDGET REPORTS Monthly or routine reports on the status of agency appropriation accounts and apportionment, excluding Annual Budget Reports.		FE +3, then destroy			
SG0111	UNSUCCESSFUL GRANT APPLICATION FILES Rejected and withdrawn grant applications, memoranda, correspondence, and other records relating to the decision to reject the grant proposal. <i>GUIDANCE:</i> - AC After rejection and withdrawal.		AC +3, then destroy.			

LEGEND:

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Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

Vital: X-Record is vital for immediate operation of the office of origin or the institution

Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, COMMUNICATION RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0301	MAIL CONTROL RECORDS Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, including statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post).		AC +3, then destroy			
SG0302	STATE MAIL AND DELIVERY SERVICE RECEIPTS Records of receipts for mail and packages received through the state mail system.		AC +1, then destroy			
SG0303	TELECOMMUNICATIONS REFERENCE VOUCHER AND BILLING RECORDS Reference copies of vouchers, bills, and invoices, relating to the installation, change, removal, and servicing of equipment.		AC +3, then destroy			
SG0304	TELECOMMUNICATIONS SERVICE AGREEMENTS Copies of agreements with background data and other records relating to agreements for telecommunications services.		AC +4, then destroy			

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, COMMUNICATION RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0305	TELECOMMUNICATIONS SERVICE RECORDS Telecommunications general files including plans, reports, and other records pertaining to equipment requests, telephone service, and other similar services.		AC +5, then destroy			
SG0306	TELECOMMUNICATIONS STATISTICAL REPORTS Statistical information gathered from a telecommunication program to document cost and volume. Information includes repair orders, billings, new equipment purchases, and accounting information.		AC +5, then destroy			
SG0307	TELEPHONE MESSAGE REGISTERS Message registers, logs, performance reports, daily load reports, and related or similar records.		AC +6 months, then destroy			
SG0308	TELEPHONE MESSAGES Incoming and outgoing telephone messages.		AC +2 months, then destroy			

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS - ADMINISTRATION

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4004	<p>STATE OF IDAHO, DHW, LICENSE FOR HOSPITAL AND SKILLED NURSING FACILITY</p> <p>SHN DATES: 1978 to present</p> <p>SHS DATES: 2011 to present</p> <p>DESCRIPTION: These records document the licensing of facilities in accordance with state law and Sections 39-1301 through 39-1317 of Idaho Code. The files contain: application for Hospital License and Annual Reports, and copies of the facility licenses and investigation or conclusions of findings. Some of these records may contain confidential or sensitive information, and these should be destroyed in a secure manner that will prevent reconstruction of the information, such as by shredding, degaussing, overwriting, etc. All other documents may be disposed of in a normal manner, such as by dumping, recycling or deletion.</p> <p>ARRANGEMENT: Paper and/or other photographically reproduced form or electronic medium.</p>	Admin	AV, then destroy		X	

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS - ADMINISTRATION

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4005	COMPLAINT AND INVESTIGATION RECORDS SHN DATES: 1990 to present DESCRIPTION: This series contains complaints brought against Hospitals, its policies/procedures, or its employees alleging violation of laws and/or policies and procedures that govern operation of the hospital. Records may include, but are not limited to, correspondence, description of complaint, case files, legal notices and orders, hearing records, exhibits, investigative reports, working notes and files, investigation committee records, minutes, and agendas, and related correspondence and documentation. ARRANGEMENT: Paper and/or other photographically reproduced form or electronic medium.	Admin	AC +3 years, AV, then destroy		X	
SG4006	POLICY AND PROCEDURE MANUAL SHN DATES: 1978 to present SHS DATES: 1999 to present DESCRIPTION: Series contains current hospital policies and procedures; hospital-wide plans; operating guidelines; historical policies and procedures. ARRANGEMENT: Paper and/or other photographically reproduced form or electronic medium and/or on-line manual.	Admin and/or Nursing Department	PM		X	

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS - ADMINISTRATION

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4007	<p>AGREEMENTS WITH OUTSIDE ENTITIES</p> <p>SHN DATES: 1992 to present</p> <p>SHS DATES: 2011 to present</p> <p>DESCRIPTION: This series may contain current and/or previous agreements between State Hospital's and outside entities such as colleges, universities and other hospitals.</p> <p>ARRANGEMENT: Paper and/or other photographically reproduced form or electronic medium.</p>	Admin	AC + 3 years, AV, then destroy		X	
SG4008	<p>VISITOR'S LOGS</p> <p>DATES: 7/01/2008 to present</p> <p>DESCRIPTION: These records document the presence of any visitors who enter the main hospital building. The records contain the visitor's name, purpose of the visit, date and time of arrival and departure. The records are used for various reasons including accounting of persons in the building in an emergent situation.</p> <p>ARRANGEMENT: Paper; retain until administrative value ends and then destroy</p>	Admin	Retain for last 3 FY + current year, then destroy			

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS - ADMINISTRATION

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4009	<p>HOSPITAL NEWSLETTER</p> <p>DATES: (online) 6/2009 -</p> <p>DESCRIPTION: The State Hospital Newsletter, Hospital Happenings, is a newsletter written for employees. Information is collected regarding hospital issues such as programs in which employees participate, facilities information, historical information, recognition of employees, announcements, etc.</p> <p>ARRANGEMENT: Chronological by date of publication. Retained on Hospital website.</p>	Admin	AV, then destroy			

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – CLINICAL SERVICES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4010	<p>PSYCHOLOGICAL TESTING – RAW DATA</p> <p>SHN DATES: 2002 – 2007 (Adults Only)</p> <p>SHS DATES: Unknown - Current</p> <p>DESCRIPTION: Psychological assessment protocols containing question and answer sheets and/or booklets that are used to generate professional Psychological Testing Reports that are entered into the patient record. Testing protocols may include, but are not limited to, MMPI-2RF, R-BANS, WAIS-IV, WAIS, SIMS, etc. Raw data may include, but is not limited to, hand written notes recorded by the psychologist in the course of interviewing, observing, and/or testing a patient, numerical or standardized scores, test stimuli, responses, testing manuals, etc.</p> <p>ARRANGEMENT: Paper and/or other photographically reproduced form or electronic medium. Institutions (State Hospital South and State Hospital North) shall maintain the raw data used to compile professional Psychological Testing Reports in their entirety for seven (7) years following the person's discharge from the institution or death. In the case of juveniles, the raw data shall be kept for seven (7) years after he/she reaches the age of majority. After the periods specified above, the raw testing results shall be purged and shredded.</p>	<p>Health Infor Mgt Depart</p> <p>Psychol- ogy Depart/ Materials Mgt</p>	<p>Adults - AC + 7 years, then destroy</p> <p>Minors – AC + 7 years after the age of 21 majority is reached, then destroy</p>		X	<p>RA –</p> <p>45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348IDAPA 16.05.01.075 IDAPA 16.05.01.221ID APA 16.05.01.240 IC § 16-2428</p> <p>APA Record Keeping Guidelines - in the absence of superseding laws or institutional regulations: psychologists may consider retaining full records until 7 years after the last date of service delivery for adults or until 3 years after a minor reaches the age of maturity, whichever is later.</p>

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – CLINICAL SERVICES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4011	CLINICAL STAFF MEETING AGENDA/MINUTES DATES: November 22, 2011 – Current DESCRIPTION: Agenda/Minutes from clinical staff meetings. The Director creates these agenda/minutes and uses them to assess the quality improvement processes, educate and train clinical staff, and share information pertaining to clinical therapists at SHS. Occasionally, case presentations are discussed and evaluated. Information may include, but is not limited to, names of clinical staff members, patient names, family treatment information, quality improvement reports, and policies and procedures. ARRANGEMENT: Paper and/or other photographically reproduced form or electronic medium.	Clinical/ Social Services	AV, then destroy			RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240 IC § 16-2428
SG4012	PATIENT LIST DATES: Current only – Excel spreadsheet, updated daily. DESCRIPTION: This document is used during the daily treatment team staffing where each client is discussed including progress or regression and possible interventions. Information may include, but is not limited to patient name, MRN, assigned clinician, DOB, referring region, admit date, expiration date of commitment, court report due dates, assigned provider, benefits, next staffing date, status level, special notations, current date, unit, total beds, available beds, etc. ARRANGEMENT: Excel spreadsheet reviewed online and/or paper copies.	Clinical/ Social Services	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240 IC § 16-2428

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – CLINICAL SERVICES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4013	<p>SHS ORIENTATION BROCHURE</p> <p>DATES: Current only - unique to each patient, updated as needed, old file is overwritten with current information for each patient admission.</p> <p>DESCRIPTION: An orientation to State Hospital South brochure designed for incoming patients. Information may include, but is not limited to, staff members who will participate on the patient's treatment team, the overall treatment process, and treatment opportunities such as the names of groups offered. It also states the State Hospital South's mission statement, vision statement, value statement, and a brief history about State Hospital South. The brochure is given to incoming patients for their information. They can keep it or destroy it at their discretion.</p> <p>ARRANGEMENT: Electronic WORD file, updated for each patient admission, printed off and provided to the patient.</p>	Clinical/ Social Services	AV, then destroy		X	<p>RA –</p> <p>45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240 IC § 16-2428</p>

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – CLINICAL SERVICES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4014	<p>CLINICAL WORKSHEETS - MULTIPLE</p> <p>VARIANT TITLES: Admission Interview worksheet, Treatment Plan Information worksheet, Long and Short Term Problem worksheet, Psychosocial History worksheet, Performance Evaluation worksheet, Adolescent History Form worksheet and other ad-hoc worksheets, as circumstances warrant.</p> <p>SHN DATES: Current patients, shredded upon entry into the patient record. SHS DATES: Current patients, shredded upon entry into the patient record.</p> <p>DESCRIPTION: These documents may include, but are not limited to, worksheets used by individual clinicians to gather information that is later used to create professional assessments and other progress notes that are then entered into the patient's record. After entry into the patient record, the worksheets are then shredded. These professional reports may later be disseminated to relevant, outside individuals and agencies and are used for continuing patient care. Information gathered on these worksheets may include, but is not limited to, compilation of data that relates to behaviors, goals, accomplishments, social history, legal status, personal and family background, circumstances surrounding admission, living arrangements, work history, marital history, legal issues, substance abuse, education, family structure, financial status and needs, leisure and recreational hobbies and interests, trauma history, strengths and weaknesses, etc.</p> <p>ARRANGEMENT: Paper and/or other photographically reproduced form or electronic medium.</p>	Clinical/ Social Services	AV, then destroy		X	<p>RA –</p> <p>45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240 IC § 16-2428</p>

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – CLINICAL SERVICES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4015	RECREATIONAL THERAPY CALENDARS DATES: January 2011 to present DESCRIPTION: These records include the monthly activities calendar for each unit and for RT Central activities. ARRANGEMENT: Electronic WORD file, updated yearly, i.e., January 2011 is replaced by January 2012.	Recreational Therapy Dept	AV, then destroy		X	
SG4016	RECREATIONAL THERAPY ACTIVITIES SCHEDULE SHN DATES: 2001 to present SHS DATES: Monthly DESCRIPTION: These records include the schedule of Treatment Community planned activities for the weekends. ARRANGEMENT: Paper and/or other photographically reproduced form or electronic medium, updated and replaced weekly.	Recreational Therapy Dept	AV, then destroy		X	

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – CLINICAL SERVICES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4017	RECREATIONAL THERAPY STAFF SCHEDULE FOR GROUPS AND ACTIVITIES SHN DATES: 2001 to present SHS DATES: Standing schedule, updated as needed. DESCRIPTION: These records include a schedule of who will be facilitating RT groups and activities on a weekly basis. They are reviewed and modified every six months or as needed. ARRANGEMENT: Electronic WORD file based on a weekly schedule which is updated as needed and mailed out electronically.	Recreational Therapy Dept	AV, then destroy		X	
SG4018	RECREATIONAL THERAPY STAFF SCHEDULES SHN DATES: 2001 to present SHS DATES: Auto-archived through Outlook, can go back at least six months for reference. DESCRIPTION: These records include a schedule of staff vacations and sick leave. ARRANGEMENT: Electronic Calendar format in Outlook and/or paper Calendar Books.	Recreational Therapy Dept	AV, then auto archive		X	

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – CUSTODIAL DEPARTMENT

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4019	CUSTODIAL – PREVENTIVE MAINTENANCE SHN DATES: 2008 to present SHS DATES: 2008 to present DESCRIPTION: These records may include, but are not limited to, information that documents regularly scheduled preventative maintenance on campus; examples may include documentation of deep cleans and monthly custodial assignments. ARRANGEMENT: Paper and/or other photographically reproduced form or electronic medium.	Custodial Spvr's Office	CE + 3 years, AV then destroy			
SG4020	CUSTODIAL – EMPLOYEE INFORMATION SHN DATES: 1995 to present SHS DATES: 1999 to present DESCRIPTION: These records may include, but are not limited to, copies of performance appraisals, education and/or in-service training records, employee medical information, attendance information, daily assignment locations, and weekend coverage. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Custodial Spvr's Office	AC, then transfer to HR			

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – CUSTODIAL DEPARTMENT

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4021	CUSTODIAL – ANNUAL ASSESSMENT OF CUSTODIAL EQUIPMENT SHN DATES: 2009 to present SHS DATES: 2006 to present DESCRIPTION: These records may include, but are not limited to, condition inspections done on vacuums, buffers, auto scrubbers, etc. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Custodial Spvr's Office	LA, AV then destroy			
SG4022	CUSTODIAL – QUALITY ASSURANCE INSPECTIONS SHN DATES: 2009 to present SHS DATES: 2008 to present DESCRIPTION: These records may include, but are not limited to on-site cleanliness inspections conducted by custodial supervisor of patient treatment areas. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Custodial Spvr's Office	CE + 3 years, AV then destroy			

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – DIETARY SERVICES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4023	<p>DIETARY SERVICES – NATIONAL SCHOOL LUNCH REPORTS</p> <p>SHS DATES: 1999 to present</p> <p>Meal Counts and Edit Checks Revenue / Expenditure Records Production Records Temperature Logs Food, Supplies & Equipment Bids Reimbursement Claims Program Renewal Documents Civil Rights Compliance Reports Employee Training Records (Civil Rights) Point of Service Site Review After School Snack Site Review forms Annual Storage Facility Self Evaluation Form Site Review findings</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Dietary Services Dept	FE + 3 years + current year*		X	<p>*Retention based on 7 CFR 210.23c.</p> <p>Exception - In cases of unresolved audit findings, the records will be kept until resolution of the audit findings.</p>

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – DIETARY SERVICES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4024	DIETARY SERVICES – FISCAL REPORTS SHN DATES: 2008 to present SHS DATES: 2008 to present DESCRIPTION: These records may include, but are not limited to, contracts, requisitions, invoice copies and Navision tracking; Monthly Budget reports for Benchmarking program; annual physical inventory; copies of p-card transmittals which are kept for tracking purposes; cost control; and Benchmarking. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Dietary Services Dept	Contracts - AC (or after final payment under the contract - whichever is greater) + 5 years, then destroy) Other - Current FE, then destroy		X	Idaho Code § 5-216
SG4025	DIETARY SERVICES – PERFORMANCE IMPROVEMENT MONITORS SHN DATES: 2008 to present SHS DATES: 2002 to present DESCRIPTION: These records may include, but are not limited to, temperature logs: holding temperatures of hot foods & cold foods, recovery temperatures of leftovers, refrigerator & freezer temperatures, and dish machine temperatures. Nourishment monitor, Nutrition Assessment monitor, Catering monitor, Meal Schedule Log, and Patient Food Satisfaction Survey summary. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Dietary Services Dept	FE + 3 years + current year		X	

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

Vital: X-Record is vital for immediate operation of the office of origin or the institution

Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – DIETARY SERVICES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4026	<p>DIETARY SERVICES – BENCHMARKING DATA</p> <p>SHS DATES: 1996 to present</p> <p>DESCRIPTION: Submitted compiled SHS dietary cost data and summary report from Benchmarking service showing how our costs compare to like facilities.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Dietary Services Dept	AV, then destroy		X	
SG4027	<p>DIETARY SERVICES – EMPLOYEE INFORMATION</p> <p>SHN DATES: 2008 to present</p> <p>SHS DATES: 2007 to present</p> <p>DESCRIPTION: These records may include, but are not limited to, employee documentation related to performance, copies of performance appraisals; education records; Idaho Food Code Certification; in-service training records; employee medical information; employee schedules and/or labor allocation logs.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Dietary Services Dept	AC, then transfer to HR		X	

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – DIETARY SERVICES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4028	DIETARY SERVICES – CANTEEN/COUNTRY STORE SHN DATES: 2008 to present SHS DATES: 2007 to present DESCRIPTION: These records may include, but are not limited to, cash receipt/cash register balance report; physical inventory with pricing. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Dietary Services Dept	FE +1, AV, then destroy		X	
SG4029	DIETARY SERVICES – PATIENT CARDEX FILES SHS DATES: 2010 to present (unless patient has been here for a longer duration) DESCRIPTION: The Cardex tickler file system tracks patient nutritional information including , but not limited to, labs, weights, diet order, food preferences, food allergies and/or intolerances. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Dietary Services Dept	AC, then Destroy		X	

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – DIETARY SERVICES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4030	DIETARY SERVICES - MENUS SHN DATES: 2009 to present SHS DATES: 2010 to present DESCRIPTION: Menus, marked with any changes and/or food substitutions made. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Dietary Services Dept	FE +1, then destroy		X	
SG4031	DIETARY SERVICES – NURSING/DIETARY COMMITTEE MEETING MINUTES SHN DATES: 2009 to present SHS DATES: 2007 to present DESCRIPTION: Minutes from Monthly Meeting where various topics pertaining to coordination between departments and patient care are discussed. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Dietary Services Dept	AV, then destroy		X	

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – EDUCATION

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4032	TRAINING RECORDS - EMPLOYEE SHN DATES: January 2007 to present SHS DATES: January 2007 to present DESCRIPTION: This series documents the training each employee received while employed. These records may include, but are not limited to, training, date(s) received, number of hours, pass/fail documentation, etc. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Training Specialist	AC +5 years, then destroy			Idaho Department of Admin, Division of Purchasing, Human Resources Records Retention Schedule of the Records Management Guide – SG0786
SG4033	TRAINING RECORDS - MISCELLANEOUS SHN DATES: January 2007 to present SHS DATES: January 2007 to present DESCRIPTION: This series includes various records created during the training process. These records may include, but are not limited to, nomination for training, training registration, pass/fail information, etc. NOTE: Specialized training or certification documents may require a longer retention period to document the process. Retain as instructed by certifying agency. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Training Specialist	AC +2 years, then destroy			Idaho Department of Administration, Division of Purchasing, Human Resources Records Retention Schedule of the Records Management Guide – SG0787

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – EDUCATION

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4034	<p>TRAINING PROFILES – PROGRAM ADMINISTRATION</p> <p>SHN DATES: January 2007 to present SHS DATES: January 2007 to present</p> <p>DESCRIPTION: This series includes records involved with arranging, facilitating and coordinating training classes. These records may include, but are not limited to, course and trainer information, handouts, training dates, accommodations, materials, billing information, etc.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Training Specialist	AC +2 years, then destroy			Idaho Department of Administration, Division of Purchasing, Human Resources Records Retention Schedule of the Records Management Guide – SG0788

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – ENVIRONMENT OF CARE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4035	<p>ENVIRONMENT OF CARE RECORDS – MINUTES AND AGENDAS</p> <p>SHN DATES: 2006 to present</p> <p>SHS DATES: September 2008 to present</p> <p>DESCRIPTION: These records may include, but are not limited to, minutes and agendas from the EOC Committee, minutes and agendas from sub-committees (Safety, Fire Safety, Emergency Management, Hazardous Materials and Waste, Security, Medical Equipment and Utility Systems) and updates to 700 series management plans. The minutes and policies document compliance with Environment of Care plans and other aspects of hospital care aspects. These plans strive to provide for the best environment for patients, employees and the public. Minutes serve as a history of this committee and may include but are not limited to, information related to attendance, date and time, topics discussed and resolutions or recommendations made.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	<p>Perform Improv and/or Admin</p> <p>Perform Improv Dept</p>	AC +3 years, send to Archive	A	X	

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – ENVIRONMENT OF CARE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4036	<p>ENVIRONMENT OF CARE RECORDS – SAFETY SUB-COMMITTEE</p> <p>DATES: February 2003 to present</p> <p>DESCRIPTION: These records document meetings of the Safety Sub-Committee and may include, but are not limited to, discussions and decisions made by the committee. Records may include, but are not limited to, agendas, minutes, safety inspection reports, tracers and annual summaries of safety inspections.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Perform Improv Dept	AC +3 years, then destroy		X	
SG4037	<p>ENVIRONMENT OF CARE RECORDS – SECURITY SUB-COMMITTEE</p> <p>DATES: January 2009 to present</p> <p>DESCRIPTION: These records document meetings of the Security Sub-Committee and may include, but are not limited to agendas, minutes and assessments, including discussions and decisions made by the committee.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Mtce Operations	AC +3 years, then destroy		X	

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – ENVIRONMENT OF CARE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4038	<p>ENVIRONMENT OF CARE RECORDS – HAZARDOUS MATERIALS AND WASTES SUB-COMMITTEE</p> <p>DATES: January 2009 to present</p> <p>DESCRIPTION: These records may include agendas, minutes and quarterly reports of hazardous wastes generated. The records document meetings of the Hazardous Materials and Wastes Sub-Committee and are intended to be an integral part of the Environment of Care Program. The plan provides management direction, policy guidance, and staff responsibilities for the program. Records maintained may include, but are not limited to, agendas, minutes which serve as a history of this sub-committee and include information such as attendance, date and time, topics discussed, and resolutions or recommendations made, safety inspections (see Safety Sub-Committee) and quarterly reports of hazardous wastes generated.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Mtce and Operation s	AC +3 years, then send to Archive	A	X	

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – ENVIRONMENT OF CARE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4039	<p>ENVIRONMENT OF CARE RECORDS – FIRE SAFETY SUB-COMMITTEE</p> <p>DATES: January 2009 to present</p> <p>DESCRIPTION: These records document meetings of the Fire Safety Sub-Committee and may include agendas, minutes, fire drill records, annual summaries, safety inspections (see Safety Sub-Committee), preventative maintenance of fire safety equipment and ILSMs (Interim Life Safety Measures) including discussions and decisions made by the committee. Minutes serve as a history of this committee and may include, but are not limited to, attendance, date and time, topics discussed, resolutions and recommendations made.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Perform Improv Dept	AC +3 years, then destroy		X	

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – ENVIRONMENT OF CARE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4040	<p>ENVIRONMENT OF CARE RECORDS – MEDICAL EQUIPMENT SUB-COMMITTEE</p> <p>DATES: January 2009 to present</p> <p>DESCRIPTION: These records may include, but are not limited to, agendas, minutes or reports and document meetings where medical equipment is reviewed for hospital use, whether new or replacement. Equipment function and required inspections and/or certifications are discussed together with any recommendations or actions needing to be taken. Minutes serve as a history of the committee and may include, but are not limited to, attendance, date and time, topics discussed, and resolutions or recommendations made.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing	AC +3 years, then destroy		X	
SG4041	<p>ENVIRONMENT OF CARE RECORDS – UTILITIES SUB-COMMITTEE</p> <p>DATES: January 2009 to present</p> <p>DESCRIPTION: These records document the facility utilities preventive maintenance performed, scheduled maintenance and inspection reports which may include agendas, minutes, Emergency Generator testing logs or Pre Construction Infection Control Risk Assessments. The minutes serve as a history of this sub-committee and may include, but are not limited to, attendance, date and time, topics discussed and resolutions or recommendations made.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Mtce and Operations	AC +3 years, then destroy		X	

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – ENVIRONMENT OF CARE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4042	<p>ENVIRONMENT OF CARE RECORDS – EMERGENCY MANAGEMENT SUB COMMITTEE</p> <p>DATES: January 1997 to present</p> <p>DESCRIPTION: These records may include, but are not limited to, agendas, minutes, reports, emergency management exercise scenarios, summaries and evaluations, hazard vulnerability analysis, safety inspections (see Safety Sub-Committee) or other data, and document meetings of the Emergency Management Sub-Committee. The plan is developed to be an integral part of the Environment of Care Program and provides management and evaluation of emergency operations. The minutes serve as a history of this sub-committee and may include, but are not limited to attendance, date and time, topics discussed and resolutions or recommendations made.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Perform Improv Dept	AC +3 years, then destroy		X	

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4043	<p>ENVIRONMENT OF CARE RECORDS - REPORTS/WORKSHEETS</p> <p>SHN DATES: 1999 to present</p> <p>SHS DATES: January 2002 to present</p> <p>DESCRIPTION: These records may include, but are not included to, various contracts, reports, policies and/or worksheets including RCA (Root, Cause, Analysis) reports, FMEA (Failure Mode and Effect Analysis) risk assessments, mortality reviews, disaster drills, significant event reporting, product safety recalls, various facility inspection reports, Joint Commission surveys, work binders and/or work group reports.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	<p>Perform Improv and/or Admin and/or Mtce & Operations</p> <p>Perform Improv Dept</p>	AC +3 years, then destroy		X	<p>RA-</p> <p>45 C.F.R. § 164.502; IC § 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240 IC§ 39-1392 to 1392f</p>

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – ENVIRONMENT OF CARE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4044	<p>ENVIRONMENT OF CARE RECORDS -REPORTS/WORKSHEETS</p> <p>SHN DATES: 1999 to present</p> <p>SHS DATES: November 2008 to present</p> <p>DESCRIPTION: This series of worksheets may include, but are not limited to, various assessments, logs and reports to include quarterly Report of Hazardous Wastes Generated, Preventive Maintenance Report of Fire Safety Equipment (see Safety Report-Environment of Care), Preventive Maintenance Reports of utility systems, Emergency Generator Testing Logs, or Pre-construction Infection Control Risk Assessments.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	<p>Perform Improv and/or Admin and/or Mtce & Operation s Mtce Dept</p>	AC +3 years, then destroy	R	X	

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – ENVIRONMENT OF CARE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4045	<p>ENVIRONMENT OF CARE RECORDS - MISCELLANEOUS</p> <p>SHN DATES: 1999 to present</p> <p>SHS DATES: October 1994 to present</p> <p>DESCRIPTION: This series of worksheets may include, but are not limited to, various reports, requisitions, inspections, testing logs and assessments that may include Safety Inspection Reports, Tracers, Annual Summary of Safety Inspections, Annual Hospital Wide Risk Assessment, Annual Risk Assessments of Sensitive Areas, Safety Inspections (see Safety Sub-Committee), Fire Drill Records, Annual Summary of Fire Drill Records, ILSMs (Interim Life Safety Measures), Emergency Management Exercise Scenarios, summaries and evaluations and Hazard Vulnerability Analysis.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	<p>Perform Improv and/or Admin and/or Mtce & Operation s Mtce Dept</p>	AC +3 years, then destroy		X	

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – HEALTH INFORMATION MANAGEMENT

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4046	<p>PSYCHIATRIC PATIENT MEDICAL RECORDS</p> <p>DATES: 1905 – approx. 1960</p> <p>DESCRIPTION: The psychiatric patient medical record provides documentation of the diagnosis and treatment of individuals confined to Idaho State Hospital North.</p> <p>ARRANGEMENT: Straight Numerical Filing System on Microfilm rolls.</p>	Health Info Mgt Dept	PM, LA		X	<p>RA- 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240</p>

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS - HEALTH INFORMATION MANAGEMENT

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4047	<p>PSYCHIATRIC PATIENT MEDICAL RECORDS</p> <p>DATES: 1960 to present</p> <p>DESCRIPTION: Institutions (State Hospital South and State Hospital North) shall maintain their psychiatric medical records in their entirety for seven (7) years following the person's discharge from the institution or death. In the case of juveniles, psychiatric medical records shall be kept in their entirety for seven (7) years after he/she reaches the age of majority. After the periods specified psychiatric medical records shall be purged and the following documents retained in the permanent file: Face Sheet, Discharge/Transfer Summary, Psychiatric Evaluation (admission assessment), Psychological evaluation and/or test results, Psychosocial Assessment, History and Physical Examination, Laboratory results, radiological reports, EKG results, EEG reports, Physician Orders, Treatment Plan and Reviews, Discharge Instruction Sheet, Courts Orders and Commitment papers, Releases of information forms or authorizations, Disclosure log, Informed consent for procedures.</p> <p>RETENTION: After the specified retention periods as given above, and after such records have been purged in accordance with DHW/FACS Case and Medical Record Retention Policy No. 04-012 the Institutions shall, without thereby incurring liability, destroy such records by shredding in keeping with the confidential nature of their contents and shall maintain a list of psychiatric medical records which have been purged or destroyed and the dates they were purged or destroyed.</p> <p>ARRANGEMENT: Straight numerical filing system on paper or in electronic format, in secured locations on-site.</p>	Health Info Mgt Dept	PM, LA		X	<p>RA- 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240</p>

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Vital: X-Record is vital for immediate operation of the office of origin or the institution

Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS - HEALTH INFORMATION MANAGEMENT

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4048	<p>ACLOHOLISM TREATMENT UNIT PATIENT MEDICAL RECORDS</p> <p>DATES: 1972 – 1995</p> <p>DESCRIPTION: The Alcoholism Treatment Unit medical record provides documentation of the diagnosis and treatment of individuals confined to that treatment program of Idaho State Hospital North.</p> <p>ARRANGEMENT: Straight numerical filing system on paper, in secured locations on-site.</p>	Health Info Mgt Dept	PM, LA		X	RA-45 C.F.R. § 164.502; IC 9-340C(13); IDAPA 16.05.01.250; 42 C.F.R. Part 2
SG4049	<p>JUVENILE DIAGNOSTIC UNIT PATIENT MEDICAL RECORDS</p> <p>DATES: 1978-1993</p> <p>DESCRIPTION: The Juvenile Diagnostic Unit medical records provide documentation of the evaluations, assessments, treatment, diagnoses, and reports provided to the court for individuals confined to that program of State Hospital North.</p> <p>ARRANGEMENT: Straight numerical filing system on paper, in secured locations on-site.</p>	Health Info Mgt Dept	PM, LA		X	RA-45 C.F.R. § 164.502; IC 9-340C(13); IC § 16-2428; IDAPA 16.05.01.211

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4050	<p>PSYCHIATRIC PATIENT MEDICAL RECORDS</p> <p>SHS DATES: July 2,1886 – November 24,1889</p> <p>DESCRIPTION: The Idaho Insane Asylum was opened July 2,1886 with 26 male and 10 female patients. A fire occurred at 1:30 am on November 24, 1889 and the records were mostly destroyed. At that time there were 47 male and 20 female patients. The population record is as follows, as far as preserved:</p> <p>Beginning census – July 2,1886 – 36 patients Additions through June 30,1887 – 31 patients Additions through June 30,1888 – 24 patients Additions through June 30,1889 – 30 patients Additions through November 24,1889 – unknown Approximate total population receiving services: 121*</p> <p>ARRANGEMENT: Destroyed in fire of November 24, 1889</p> <p>*It is unknown how many additions were recorded for the period of July 1, 1889 – November 24, 1889.</p>	Health Info Mgt Dept	N/A			

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4051	<p>PSYCHIATRIC PATIENT MEDICAL RECORDS</p> <p>DATES: November 25,1889 – December 31,1996</p> <p>DESCRIPTION: The psychiatric patient medical record provides complete documentation of the diagnosis and treatment of individuals confined to Idaho State Hospital South. Information includes, but is not limited to: Face Sheets; Legal data related to the commitment and/or voluntary admission; Psychiatric, Psychosocial, Psychological, Medical, Nursing, Recreational, Dietary & Other Assessments; Medication Orders, Treatment Plans, Treatment Plan Reviews and/or revisions; Multi-disciplinary Progress Notes; Laboratory, X-Ray/Radiology & other special reports; Consultations; Flowsheets; Discharge planning & Discharge Summary; Consent forms, Release of Information, documentation related to Patient Rights, Correspondence, Patient belongings and/or valuables, etc. These records were created and maintained in accordance to State, Federal and other regulatory agency control.</p> <p>ARRANGEMENT: Straight Numerical Filing System retained in entirety on Microfilm, Microfilm Duplicate Microfilm roll and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.</p>	Health Info Mgt Dept	PM, LA		X	RA- 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4052	<p>PSYCHIATRIC PATIENT MEDICAL RECORDS</p> <p>DATES: January 1,1997 – Current</p> <p>DESCRIPTION: Institutions (State Hospital South and State Hospital North) shall maintain their psychiatric medical records in their entirety for seven (7) years following the person's discharge from the institution or death. In the case of juveniles, psychiatric medical records shall be kept in their entirety for seven (7) years after he/she reaches the age of majority. After the periods specified psychiatric medical records shall be purged and the following documents retained in the permanent file: Face Sheet, Discharge/Transfer Summary, Psychiatric Evaluation (admission assessment), Psychological evaluation and/or test results, Psychosocial Assessment, History and Physical Examination, Laboratory results, radiological reports, EKG results, EEG reports, Physician Orders, Treatment Plan and Reviews, Discharge Instruction Sheet, Courts Orders and Commitment papers, Releases of information forms or authorizations, Disclosure log, Informed consent for procedures.</p> <p>RETENTION: After the specified retention periods as given above, and after such records have been purged in accordance with DHW/FACS Case and Medical Record Retention Policy No. 04-012 & SHS Policy 520-03 and then retained on Microfilm, Microfilm Duplicate and/or Microfilm roll and/or other photographically reproduced form or electronic medium the Institutions shall, without thereby incurring liability, destroy such records by shredding in keeping with the confidential nature of their contents and shall maintain a list of psychiatric medical records which have been purged or destroyed and the dates they were purged or destroyed.</p> <p>ARRANGEMENT: Straight numerical filing system on paper or in electronic format, in secured locations on-site.</p>	Health Info Mgt Dept	PM		X	RA- 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4053	<p>MASTER PATIENT INDEX CARDS</p> <p>1) State Hospital North – Psychiatric Treatment Unit – DATES: 1905 to present ARRANGEMENT: 3 x 5 paper index cards; alphabetical</p> <p>2) State Hospital North – Alcoholism Treatment Unit – DATES: 1972 - 1995 ARRANGEMENT: 3 x 5 paper index cards; alphabetical</p> <p>3) State Hospital North – Juvenile Diagnostic Unit – DATES: 1978 - 1993 ARRANGEMENT: 6" X 8" paper index cards, alphabetical</p> <p>4) State Hospital South - DATES: July 2,1886 – November 24,1889 - Unknown</p> <p>DATES: November 24,1889 - Current</p> <p>DESCRIPTION: This series is an alphabetical 3 x 5 index card system used to locate a patient's medical record number, by which patient records are filed. The information on these cards may include, but is not limited to, the patient's name, medical record number, county of residence, admission and discharge dates, legal status, legal status updates, region patient was discharged to, marital status, race, sex, date of birth, birthplace, social security number, address, fathers name and birthplace, mothers name and birthplace, and location in early registers on the back of the master patient index cards.</p> <p>ARRANGEMENT: Straight numerical filing system on paper or in electronic format, in secured locations on-site.</p>	Health Info Mgt Dept	PM		X	RA- 45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4054	<p>ADMITTING REGISTERS</p> <p>DATES: 1889 - August 27, 1934</p> <p>DESCRIPTION: This series contains chronological patient admitting registers dating back to the opening of the Idaho Insane Asylum, after the fire of November 24, 1889. Data may include, but is not limited to, patient name, date of admission, residence, county, place of birth, occupation, height, weight, color of eyes, color of hair, age, race, education, religion, civil condition, habits, number of attacks, age at first attack, duration of present attack, first or other admission, hereditary, suicidal, homicidal, cause, committed by, address of friends, general aspect and complexion, general nutrition, skin, teeth, appetite, stomach, spleen, respirations, lungs, kidneys, urine, color, S.G., quantity, genital organs, motion, perceptions, intellect, sleep, hallucinations, illusions, delusions, general strength, temperature, hair, nails, tongue, bowels, liver, intestines, pulse, heart, bladder, general sensation, emotions, volition, lodger information, elopement, home visits, correspondence, disposition of body, grave number and other general additional notation entries.</p> <p>ARRANGEMENT: Paper, Microfilm, Microfilm Duplicate and/or Microfilm roll and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.</p>	Health Info Mgt Dept	PM, LA		X	<p>RA-45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240</p>

LEGEND:

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SG4055	<p>POPULATION RECORDS</p> <p>State Hospital North – Population Record Book DATES: 1905 – 1968</p> <p>State Hospital North – Census Sheets and Unit Rosters DATES: 1968 - present</p> <p>State Hospital South DATES: November 24, 1889 - June 30, 1988</p> <p>DESCRIPTION: This series contains chronological patient admitting data dating back to the opening of the Idaho Insane Asylum, after the fire of November 24, 1889. Data may include a recording of, but is not limited to, patient name, date of admission, date of discharge, sex, death, elopement, return from elopement, type of discharge, population totals and other general additional notation entries.</p> <p>ARRANGEMENT: Paper, Microfilm, Microfilm Duplicate and/or Microfilm roll and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.</p>	Health Info Mgt Dept	PM, LA		X	RA-45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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SG4056	<p>SHN DEATH REGISTER AND SHN CEMETERY GRAVE PLOT</p> <p>DATES: 1906 - 1990</p> <p>SHS Cemetery record book, Grave numbers book, SHS Cemetery Listings, Death Certificates & SHS Grave Registers</p> <p>DATES: June 7, 1877 - April 23, 1981</p> <p>DESCRIPTION: This series contains various listings (alphabetical by surname, grave number, chronological by date of death) of burial information related to graves in the SHS and SHN cemeteries and may include, but is not limited to, patient names, dates of death, grave numbers, place of burial, funeral homes, burial dates, death certificates and (3) Certificate of death booklets dated June 25, 1960 – September 35, 1961 and one plot map diagram outlined on a small piece of cardboard (#3).</p> <p>ARRANGEMENT: Paper: Retain in agency custody on site permanently. Microfilm, Microfilm Duplicate and/or Microfilm roll and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.</p>	Health Info Mgt Dept	PM, LA		X	RA- 45 C.F.R. § 164.502; IC 9- 340C(13); IDAPA 16.05.01.190

LEGEND:

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SG4057	HOSPITAL LIAISON REGISTERS X 2 DATES: October 19, 1973 – October 26, 1980 DESCRIPTION: This series contains chronological handwritten entries related to dates of patient referral, situational aspects related to the patient or potential patient and dates of admission. ARRANGEMENT: Paper: Retain in agency custody on site permanently.	Health Info Mgt Dept	PM, LA		X	RA- 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4058	DAY BOOK – PSYCHOLOGICAL TESTING DATES: October 01, 1953 – June 18, 1963 DESCRIPTION: This series contains chronological handwritten entries related to requests for Psychological Testing and may include, but is not limited to, referral date, patient names, age, status, individual assigned to test, requestor remarks, testing date, date of typed evaluation and a separate list of files made from July 23, 1958 through January 24, 1961. ARRANGEMENT: Paper: Retain in agency custody on site permanently.	Health Info Mgt Dept	PM, LA		X	RA- 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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SG4059	<p>DAY BOOK – STAFF BOOK</p> <p>DATES: January 07,1953 - April 13,1956</p> <p>DESCRIPTION: This series contains chronological handwritten entries related to staff meetings, staff reports related to patient care and treatment structure of staff services and may include, but is not limited to, admissions, discharges, transfers, passes, individual patient requests and evaluation of current status, legal situation.</p> <p>ARRANGEMENT: Paper: Retain in agency custody on site permanently.</p>	Health Info Mgt Dept	PM, LA		X	RA- 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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SG4060	<p>STATISTICAL REPORTS</p> <p>VARIANT TITLES: Daily Census, Patient Days by Region Report, Death Register, In-Patient List, Unit Rosters, Alphabetical Listing by Referring Region, Readmission Statistical Report, Admissions, Discharges, Transfer, Monthly/Yearly Admission Statistical Reports for Facility, Monthly/Yearly Statistical Discharge Reports for Facility, Annual Reports, Physician's Index, Disease Index, Physician's Efficiency Lists, Staff Efficiency Lists, Delinquency Rates, Hospital Dashboards, and other Ad-Hoc Reports as needed.</p> <p>DATES: November 24, 1889 – Current</p> <p>DESCRIPTION: This series contains chronological patient admission/discharge/transfer data dating back to the opening of the Idaho Insane Asylum, after the fire of November 24, 1889. Data compilation varied over the years and may include a recording of, but is not limited to, patient name, medical record number, race, age, veteran status, referral source, legal status, resident county, committing county, unit, date of admission, date of discharge, date of transfer, sex, date of birth, clinician, physician, date of death, diagnoses, elopement, return from elopement, type of discharge, population totals including number of census days, number of patient days, daily census, average census, percentage of occupancy, number of admissions, admissions & discharges broken out by race, age, veteran status, referral in and out sources, legal status, residential county/region, primary diagnosis, length of stay data, discharge type, etc.</p> <p>ARRANGEMENT: Paper, Microfilm, Microfilm Duplicate and/or Microfilm roll and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.</p>	Health Info Mgt Dept and/or Admin and/or Perform. Imprv. Dept.	PM		X	<p>RA- 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240</p>

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SG4061	PATIENT MEDICAL RECORD NUMBERS DATES: Unknown – present DESCRIPTION: This series contains handwritten and/or typed entries related to numerical assignment of the patient medical record number as a unique patient identifier for medical record keeping purposes and was/is assigned upon admission to the hospital. Each patient is assigned one number that is unique to the patient regardless of episodes of care and is kept over a lifetime. ARRANGEMENT: Paper, Microfilm, Microfilm Duplicate and/or Microfilm roll and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.	Health Info Mgt Dept	PM		X	RA- 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4062	ADMISSION/DISCHARGE/TRANSFER (BLUE) LOG BOOK DATES: December 22, 2008 – Current DESCRIPTION: This series contains reverse chronological handwritten and/or electronic entries related to patient admission, discharge, transfer, and coding updates and is used as a working tool to track procedural and auditing processes conducted by the Health Information Management Department and has administrative value only. ARRANGEMENT: Paper or electronic (Excel spreadsheet): Retain until administrative value ends and then destroy.	Health Info Mgt Dept	AV, then destroy		X	RA- 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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SG4063	<p>DELINQUENCY RATE</p> <p>DATES: January 01, 2003 - Current</p> <p>DESCRIPTION: This series contains chronological spreadsheets and graphical representations of the delinquency rates for patient records and may include but is not limited to the following information, patient medical record number, patient name, unit, discharging doctor, discharge date, date the discharge summary was signed, date coding was completed, if the chart was signed off in 30 days post discharge, date the chart was completed and filed on the shelf, if the chart was in compliance, and reasons for deficiencies when charts are unable to be closed out in 30 days post discharge. This information is used as a working tool to graphically display medical records delinquency rates over time and to meet regulatory requirements and has administrative value only.</p> <p>ARRANGEMENT: Paper or electronic (Excel spreadsheet): Retain three years past discharge or until administrative value ends and then destroy.</p>	Health Info Mgt Dept	AC + 3 years, AV, then destroy		X	RA- 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS - HEALTH INFORMATION MANAGEMENT

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4064	<p>STATE HOSPITAL NORTH – DISCHARGE LOG</p> <p>DATES: 12/1/00 – Current</p> <p>DESCRIPTION: This series contains a chronological on-going record of chart completion, including patient name, MR#, date of discharge, date the chart was reviewed, date the discharge summary was completed, date the chart was coded and codes entered in BHIS, and the date the chart was permanently filed.</p> <p>ARRANGEMENT: Electronic – Excel spreadsheet: Retain until administrative value ends and then destroy.</p>	Health Info Mgt Dept	AV, then destroy		X	<p>RA- 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240</p>

LEGEND:

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Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

Vital: X-Record is vital for immediate operation of the office of origin or the institution

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS - HEALTH INFORMATION MANAGEMENT

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SG4065	<p>STAFF SIGNATURE BOOKS (CURRENT & FORMER)</p> <p>DATES: SHN 1994 – Current SHS January 01, 2008 - Current</p> <p>DESCRIPTION: This series contains an alphabetical listing by surname and may include but is not limited to the following information, beginning and ending dates of employment (personnel action notification), activation & deactivation dates of access to the patient's electronic medical record, signature variations for staff who chart in the paper medical record and/or a Notice of Participation Statement for Electronic Signatures which contains an oath of confidentiality that employees sign upon employment to gain access to the patient's electronic medical record. This information is used as a working tool to identify staff deficiencies in the paper medical record and to meet regulatory requirements and has administrative value only.</p> <p>ARRANGEMENT: Paper: Retain in Office during employment +3 years following termination of employment or until administrative value ends and then destroy.</p>	Health Info Mgt Dept	AV, then destroy		X	<p>RA- IC 9-340C; IDAPA16.03.1 4.360.04; JC – IM.02.01.03 SHS Policy 360-02.</p>

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS - HEALTH INFORMATION MANAGEMENT

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4066	<p>RELEASE OF INFORMATION BINDER</p> <p>DATES: SHN – 1991 – Current SHS - September 7, 2007 - Current</p> <p>DESCRIPTION: This series contains a reverse chronological listing of release of information and may include, but is not limited to, the following information from State Hospital patient records: the patient medical record number, patient name, person or organization who is requesting the information, the information that was sent, date the request was received, and the date the request was sent and how it was sent. The same information is also kept on the actual release of information request and filed on the patient medical record after processing. This information contained on the log is used as a working tool to quickly locate the status of a release of information request and has administrative value only.</p> <p>ARRANGEMENT:</p> <p>Paper or electronic (Excel spreadsheet): Retain until administrative value ends and then destroy.</p>	Health Info Mgt Dept	AV, then destroy		X	<p>RA- 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IC § 16-2428 IDAPA 16.05.01.075 IDAPA 16.05.01.211 IDAPA 16.05.01.221 IDAPA 16.05.01.240</p>

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS - HEALTH INFORMATION MANAGEMENT

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4067	<p>CONTRABAND AWARENESS STATEMENT</p> <p>DATES: Unknown – present</p> <p>DESCRIPTION: This series contains a form that the visitors of patients sign acknowledging awareness of items that would be considered contraband, the Hospitals policy against them and that the visitor certifies that they will not bring contraband into the Hospital or leave them with the patient they visit, subject to visitation restrictions and/or legal action brought against the visitor for violation of the policy. The form may include, but is not limited to, the date and time of the visit, the patient being visited, the address of the visitor, and the visitor's signature.</p> <p>ARRANGEMENT:</p> <p>Paper or electronic: Retain until administrative value ends and then destroy.</p>	Health Info Mgt Dept	AV, then destroy		X	

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – INFECTION CONTROL

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4068	<p>INFECTION CONTROL RECORDS – INFECTION CONTROL COMMITTEE</p> <p>DATES: August 1985 - Present</p> <p>DESCRIPTION: This record series documents meetings of the Infection Control Committee and may include, but is not limited to, agendas, minutes and assessments, which may including discussions and decisions made by the committee. The duties of this committee include establishing written infection control measures, writing procedures governing the use of aseptic techniques and establishing techniques and procedures for the development of an Infection Prevention and Control Plan.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Perform Improv Dept	AC +3 years, then destroy		X	

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4069	<p>INFECTION CONTROL RECORDS –FILES, REPORTS AND WORKSHEETS</p> <p>SHN DATES: 1992 to Present</p> <p>SHS DATES: August 1995 to Present</p> <p>DESCRIPTION: These records document the infection control program and may include, but are not limited to, Employee Illness Report, Employee Illness Log, Morbidity Report Forms, Infection Control Policies Monitoring Compliance documentation, Infection Control Practices Staff Self-Evaluation forms, Tuberculosis Summary, Nosocomial Infection Summary, Line Listing of Resident Infections, Outbreak Investigation forms, summaries from the Blood Borne Pathogens and Sharps Injury log, related correspondence and/or similar documentation.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	<p>Perform Improv and/or Medical Clinic Physician Office</p> <p>Perform Improv Dept</p>	AC + 3 years, then destroy		X	<p>RA –</p> <p>45 C.F.R. § 164.502; IC 9-340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 Idaho Code § 9-340C(1) Idaho Code § 9-340-C(12)</p>

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – INFECTION CONTROL

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SG4070	<p>INFECTION CONTROL RECORDS – EMPLOYEE HEALTH RECORDS</p> <p>SHN DATES: 1989 to present</p> <p>SHS DATES: 1994 to present</p> <p>DESCRIPTION: These records contain health information about employees. Information may include, but is not limited to, Tuberculosis (TB) testing, immunization status, reports of lab tests on employees, reports of injuries to employees involving possible exposure to blood borne pathogens*, FIT test and chest x-ray reports on employees. These records are maintained separately from employee personnel files.</p> <p>*Note: Employee Health Records for injuries (such as exposures or needle stick) that result in Worker's Compensation Claims would be retained by the State Insurance Fund.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	<p>Perform Improv and/or Medical Clinic Physician Office</p> <p>Perform Improv Dept</p>	AC + 30 years, then destroy		X	<p>RA –</p> <p>Idaho Code § 9-340C(1)</p> <p>Idaho Code § 9-340-C(12)</p> <p>Title 29 CFR Part 1910.1020</p> <p>http://www.nclabor.com/osh/etta/indguide/ig7.pdf</p>

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – LAUNDRY SERVICES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4071	<p>LAUNDRY – SUMMARY OF WASHER USAGE, ETC.</p> <p>SHS DATES: 2008 to present</p> <p>DESCRIPTION: These records may include, but are not limited to, information that documents of the amount of loads and cycle classification of each washer. These records may also include the amount and/or style of mop and amount of rags used each week by each unit.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Laundry Dept	CE + 3 years, AV then destroy			
SG4072	<p>LAUNDRY – EMPLOYEE INFORMATION</p> <p>DATES: 1997 to present</p> <p>DESCRIPTION: These records may include, but are not limited to, copies of performance appraisals, education and/or in-service training records, and attendance information.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Laundry Spvr's Office	AC, then transfer to HR			

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – LAUNDRY SERVICES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4073	LAUNDRY – ANNUAL ASSESSMENT OF LAUNDRY EQUIPMENT DATES: 2006 to present DESCRIPTION: These records may include, but are not limited to, condition inspections done on washers, dryers, etc. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Shared Drive	LA, AV then destroy			
SG4074	LAUNDRY – LAUNDRY COSTS DATES: 2006 to present DESCRIPTION: These records may include, but are not limited to, the monthly costs of running the Laundry operation, chemicals personal, utilities, etc. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Shared Drive	CE + 3 years, AV then destroy			
SG4075	LAUNDRY – PERFORMANCE IMPROVEMENT DATES: 2008 to present DESCRIPTION: These records may include, but are not limited to, copies of the monthly monitor and evaluation records. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Shared Drive	CE + 3 years, AV then destroy			

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – MATERIALS MANAGEMENT

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4076	MATERIALS MANAGEMENT – SHS FORMS SHS DATES: 1977 to present DESCRIPTION: These records may include, but are not limited to, all the original paper and/or electronic forms which are used as a template for issued forms throughout the Hospital and placed in stock as needed. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Materials Mgt Dept	US, then destroy		X	
SG4077	MATERIALS MANAGEMENT – MONTH END REPORTS SHS DATES: January 2008 to present DESCRIPTION: These records may include, but are not limited to, all month-end distribution, receiving, returns, and credits for onsite inventory. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Materials Mgt Dept	AV, then destroy		X	
SG4078	MATERIALS MANAGEMENT – DAILY RECEIVING REPORTS SHS DATES: January 2008 to present DESCRIPTION: These records may include, but are not limited to, transfer of any invoices that need to be paid and/or addressed by Fiscal Department. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Materials Mgt Dept	CE + 1 year, then destroy		X	

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4079	MATERIALS MANAGEMENT – P-CARD TRANSMITTALS DATES: January 2006 to present DESCRIPTION: These records may include, but are not limited to, purchase orders, requisitions, and credit card transmittal for all credit card activity. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Materials Mgt Dept	AV, then destroy		X	
SG4080	MATERIALS MANAGEMENT – DELIVERY RECEIPTS DATES: January 2006 to present DESCRIPTION: These records may include, but are not limited to, product delivered, to whom, from whom, for whom, and date. This would be for any items not ordered by Materials Management and usually reflect personal packages. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Materials Mgt Dept	CE + 1 year, then destroy		X	

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4081	MATERIALS MANAGEMENT – RECORDS TRANSFERRED TO ARCHIVE STORAGE DATES: Unknown to present DESCRIPTION: These records may include, but are not limited to, Form SHS-0102 - List of items (to include but not limited to DVD, VHS, Cassette tapes, 8mm, paper records) transferred to Materials Management for archival storage. Department, description, disposal date, date transferred will all appear on form. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Materials Mgt Dept	* stored documents will be retained according to approved retention plans on file with Dept. of Administration – Record Center.		X	* Note – All records transferred to Archive Storage will be retained according to individual retention plans for the record type being stored.
SG4082	MATERIALS MANAGEMENT – PAR INVENTORY SHEETS DATES: January 2008 to present DESCRIPTION: Excel spreadsheet used to document weekly inventory checks on units and nursing stations. Information may include, but is not limited to, a master list of forms, dry goods, and materials used, broken out by individual unit and is used for re-stocking purposes on a weekly and/or monthly basis. ARRANGEMENT: Excel spreadsheet	Materials Mgt Dept	AC		X	

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – MEETING MINUTES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4083	<p>SHN ADVISORY BOARD MEETING</p> <p>DATES: 1980 to present</p> <p>DESCRIPTION: SHN Advisory Board was established by legislative intent. The Board membership represents DHW Mental Health Boards and interest groups, consumers, Orofino business community, legislators, County and Judicial officials, and law enforcement. The Board reviews and assists in policies, goals and objectives and planning; reviews state laws, proposes and supports legislation; reviews budget and makes recommendations; advocates for consumers and mental health services; reviews Performance Improvement and Hospital activities and reports, and makes recommendations.*</p> <p>ARRANGEMENT: Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.</p> <p>* Other records kept by this committee may include, but is not limited to, Board Membership Lists, member appointment letters, Advisory Board By-Laws, and other related correspondence and documentation.</p>	Admin	PM		X	

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4084	<p>GOVERNING BODY MEETING</p> <p>SHN DATES: 1994 to present</p> <p>SHS DATES: 2008 to present</p> <p>DESCRIPTION: Minutes document Governing Body oversight of the hospitals. This includes assisting with institutional planning, appointment of Medical Staff members, approval of Medical Staff activities, i.e., credentialing, privileging, reappointment, and termination of medical staff. The Governing Body also oversees the monitoring of treatment services, planning, approving, and monitoring resource allocations, approving hospital policies, overseeing safety and risk management. *</p> <p>ARRANGEMENT: Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.</p> <p>* Other records kept by this committee may include, but is not limited to, current approved by-laws and rules and regulations of the Governing Body.</p>	Admin	PM		X	

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4085	<p>EXECUTIVE STAFF MEETING</p> <p>SHN DATES: 1992 to present</p> <p>SHS DATES: 2008 to present</p> <p>DESCRIPTION: To provide a centralized communication function for operation and to promote dialogue between the medical staff and administration and includes, but is not limited to planning, policy and decision making. Authorized by the Governing Body, responsible for oversight of all committees and Performance Improvement/Quality Council.</p> <p>ARRANGEMENT: Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.</p>	Admin	PM		X	<p>RA –</p> <p>IC § 39-1392b.</p> <p>IC § 9-340C(18)</p> <p>IDAPA 16.05.01.075</p> <p>IDAPA 16.05.01.211</p> <p>IDAPA 16.05.01.221</p> <p>IDAPA 16.05.01.240</p>

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4086	<p>MEDICAL STAFF MEETING</p> <p>SHN DATES: 1992 to present</p> <p>SHS DATES: 1989 to present</p> <p>DESCRIPTION:</p> <ol style="list-style-type: none"> To ensure high standards for provision of medical care including peer review related functions. To ensure that the care provided meets these standards. To coordinate Medical Staff activities between laboratory, nursing, pharmacy, and support services staff under such limitations as may be imposed on the Committees by the Medical Staff By-laws and Policies and Procedures. <p>Functions under the purview of the Medical Staff: *</p> <p>Pharmacy and Therapeutics - To ensure cost effective and optimum standards and practices for medication use.</p> <p>Infection Control - To identify and reduce the risks of acquiring and transmitting infection among patients and employees and to ensure communication of findings to the Performance Improvement /Quality Council.</p> <p>Medical Records - the Medical Staff Committee will have oversight for the organization's ongoing medical records review program, the review and approval of forms, templates, and note titles for the medical record, and any abbreviations used in the medical record.</p>	Admin	PM		X	<p>RA –</p> <p>IC § 39-1392b.</p> <p>IC § 9-340C(18)</p> <p>IDAPA 16.05.01.075</p> <p>IDAPA 16.05.01.211</p> <p>IDAPA 16.05.01.221</p> <p>IDAPA 16.05.01.240</p>

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – MEETING MINUTES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4086 Cont.	<p>Credentialing - to oversee appointment and privileging of the Professional Staff and to make recommendations to the Governing Body regarding staff appointments and privileging.</p> <p>Utilization and Peer Review - ensure a planned, systematic and ongoing process for monitoring, evaluating, and improving the efficient utilization of hospital services and to improve performance related to services rendered by the Professional Staff. This function is reviewed at Unit Leadership Council for SHS.</p> <p>ARRANGEMENT: Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.</p> <p>* Other records kept by this committee may include, but is not limited to, the current approved by-laws and rules and regulations of the Medical Staff; credentials files to include individual practitioner credentials files with current and historical data; inactive credentials files from practitioners no longer employed.</p>					

LEGEND:

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Vital: X-Record is vital for immediate operation of the office of origin or the institution

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – MEETING MINUTES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4087	<p>ENVIRONMENT OF CARE COMMITTEE</p> <p>SHN DATES: 7/2006 to present</p> <p>SHS DATES: 2008 to present</p> <p>DESCRIPTION: To maintain preparedness of the facility in promoting the safety, welfare, and security of patients, staff and others present within the facilities during routine operations, emergencies, or disasters.*</p> <p>ARRANGEMENT: Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.</p> <p>* Other records kept by this committee may include, but is not limited to, fire drill reports; hospital-wide disaster flip charts; facility inspections and hazards vulnerability analysis reports; water quality reports; life safety system inspections and maintenance.</p>	Admin and/or Perform. Imprv. Dept.	AV, then destroy		X	

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – MEETING MINUTES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4088	<p>HOSPITAL MANAGEMENT COMMITTEE (HMC) AND/OR DEPARTMENT HEADS MEETING</p> <p>SHN DATES: 1992 to present</p> <p>SHS DATES: 2010 to present</p> <p>DESCRIPTION: To provide a forum for communication and dissemination of information among managers and supervisors including discussion about inter-department issues, internal and external to the hospital, receive updates on facility operations, plan administrative operations, and disseminate information to department/service staff. Employee Recognition & Employee Health & Wellness activities are included in this meeting.</p> <p>ARRANGEMENT: Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.</p>	Admin and/or Nursing Admin	AV, then destroy			

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – MEETING MINUTES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4089	<p>PERFORMANCE IMPROVEMENT COUNCIL</p> <p>DATES: 1992 to present.</p> <p>DESCRIPTION: Performance Improvement Council/Quality Council has the overall responsibility for PI program direction and coordination throughout the facility and among all departments including morbidity and mortality functions.*</p> <p>ARRANGEMENT: Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.</p> <p>*These records include patient exit interview forms; Unusual Occurrence forms, monthly QI reports, Restrains and Seclusion forms.</p>	Admin	AV, then destroy		X	<p>RA –</p> <p>IC § 39-1392b.</p> <p>IC § 9-340C(18)</p> <p>IDAPA 16.05.01.075</p> <p>IDAPA 16.05.01.211</p> <p>IDAPA 16.05.01.221</p> <p>IDAPA 16.05.01.240</p>
SG4090	<p>QUALITY CONTROL</p> <p>DATES: 2008 to present</p> <p>DESCRIPTION: Quality Council has the overall responsibility for PI program direction and coordination throughout the facility and among all departments including ORYX/NRI data.*</p> <p>ARRANGEMENT: Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.</p> <p>*These records include patient exit interview forms; Unusual Occurrence forms, monthly QI reports, Restraint and Seclusion forms.</p>	Perform Imprv. Department	AV, then destroy		X	<p>RA –</p> <p>IC § 39-1392b.</p> <p>IC § 9-340C(18)</p> <p>IDAPA 16.05.01.075</p> <p>IDAPA 16.05.01.211</p> <p>IDAPA 16.05.01.221</p> <p>IDAPA 16.05.01.240</p>

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – MEETING MINUTES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4091	<p>DEPARTMENT AND SUPERVISORY MEETINGS</p> <p>DATES: Varied, by Department</p> <p>DESCRIPTION: Communications across departments and divisions, attended by hospital employees and division employees at the hospital location, regarding hospital or division topics that pertain to staffing, operations, and activities, such as announcements, plans and projects, problems and resolutions. Meeting may occasionally include training and in-service, and distribution of local, state and national information. Policies and procedures are discussed.</p> <p>ARRANGEMENT: Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.</p>	Depart. Specific	AV, then destroy			
SG4092	<p>PATIENTS' RIGHTS ADVISORY COUNCIL</p> <p>DATES: 2000 to present</p> <p>DESCRIPTION: The membership represents interest groups, and consumers, The membership reviews and assists in policies, goals and objectives and planning; reviews state laws, proposes and supports legislation; advocates for consumers and mental health services; reviews Performance Improvement and Hospital activities and reports, and makes recommendations.</p> <p>ARRANGEMENT: Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.</p>	Perfor. Imprv.Dept.	AV, then destroy			

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4093	<p>PATIENT CONCERN (FORMERLY PATIENT ADVOCACY) AND/OR PATIENTS' RIGHTS COMMITTEE</p> <p>SHN DATES: 11/2000 to present</p> <p>SHS DATES: 2001 to present</p> <p>DESCRIPTION: The primary purpose of the Committee is to evaluate unresolved patient concerns and suggest potential resolutions to issues brought forth. The secondary purpose of the Committee is to provide an internal process by which we monitor resolved patient concerns to promote accountability within the organization. The Committee is composed of a cross section of employees within the organization.</p> <p>ARRANGEMENT: Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.</p>	<p>Admin. – SHN</p> <p>Perfom. Imprv. Depart – SHS</p>	AC + 3 years, AV, then destroy			<p>RA –</p> <p>IC § 39-1392b.</p> <p>IC § 9-340C(18)</p> <p>IDAPA 16.05.01.075</p> <p>IDAPA 16.05.01.211</p> <p>IDAPA 16.05.01.221</p> <p>IDAPA 16.05.01.240</p>

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4094	<p>SECLUSION AND RESTRATINT COMMITTEE</p> <p>DATES: 2004 to present</p> <p>DESCRIPTION: The primary purpose of the Committee is to respond to the national and international goal of reducing seclusion and restraint in behavioral health programs. This committee uses the 6 Core Strategies as its guide for the committee's actions:</p> <ol style="list-style-type: none"> 1. Promoting a coercion-free environment of mutual respect, supported by a committed leadership team; 2. The creative use of data in a non-punitive though competitive way; 3. A well trained and skillful workforce; 4. The skillful and effective use of de-escalation tools and techniques; 5. Effective peer support, and the formal involvement of consumers in their own treatment and in other hospital affairs; 6. Utilization of effective debriefing strategies to prevent recurrence and facilitate both patient and organizational learning. <p>There are 6 subcommittees that report to the committee. Any minutes/recommendations are recorded through the main committee minutes.</p> <p>ARRANGEMENT: Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.</p>	Perfor Imprv Depart	AV, then destroy			

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4095	<p>EDUCATION COMMITTEE</p> <p>DATES: 2010 to present</p> <p>DESCRIPTION:</p> <ol style="list-style-type: none"> 1. Promote in-service and continuing education activities for State Hospital South employees. 2. Promote forums for annual mandatory training. 3. Support efforts to evaluate the effectiveness of in-service activities as part of the State Hospital South Performance Improvement Plan. 4. Function as a subcommittee of the Executive Management Committee. 5. Identify and advise on educational resource needs for State Hospital South and pursue avenues for meeting these needs. <p>ARRANGEMENT: Paper, website, shared drive and/or other photographically reproduced form or electronic medium in separate secured storage locations located on-site.</p>	Perform Improv Depart	AV, then destroy			

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – NURSING SERVICES-MEDICAL CLINIC

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4096	<p>NURSING DEPARTMENT - CARDEX</p> <p>SHN DATES: Current patients</p> <p>SHS DATES: Current patients</p> <p>DESCRIPTION: These records may include, but are not limited to, pertinent patient information such as medications, diagnosis, and any special instructions for patient care. This is a working document only and the original information is contained in the patient medical record and the Cardex is shredded upon patient discharge.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	AC, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

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SG4097	<p>NURSING DEPARTMENT - CENSUS / SHIFT REPORT/PATIENT ACTIVITIES</p> <p>SHN DATES: January 2007 to present</p> <p>SHS DATES: December 2011 to present</p> <p>DESCRIPTION: These records may include, but are not limited to, current unit census by shift, otherwise or unauthorized absences, admissions or discharges and is compiled daily and is then sent to Medical Records (top portion only) who uses the information to validate the Hospital Daily Census. The bottom portion contains a working list of patients, their precaution levels, and any seclusion and restraint episodes that have occurred for the shift which is also contained in the patient's medical record.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	AC + 2 months, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4098	<p>NURSING DEPARTMENT - UNAUTHORIZED ABSENCE REPORT TO ADMINISTRATION</p> <p>DATES: Unknown to present</p> <p>DESCRIPTION: These records may include, but are not limited to, documentation of incidents of patients attempting to leave without permission which contains a brief description of the event and who was notified.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	CE + 5 years, AV then destroy		X	RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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SG4099	<p>NURSING DEPARTMENT - DIVISION OF BEHAVIORAL HEALTH INCIDENT/ACCIDENT REPORT</p> <p>SHN DATES: Jan 2007 to present</p> <p>SHS DATES: Unknown to present</p> <p>DESCRIPTION: These records may include, but are not limited to, documentation of incidents that may rise to the level of media attention and informs Hospital Administration and the Division of Behavioral Health of what has occurred.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	CE + 5 years, AV then destroy		X	

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SG4100	<p>NURSING DEPARTMENT - QUALITY ASSURANCE REPORTS/WORKSHEETS</p> <p>SHN DATES: Jan 2009 to present</p> <p>SHS DATES: Unknown to present</p> <p>DESCRIPTION: These records may include, but are not limited to, any paper form or mechanism used to monitor an activity in the hospital that is then compiled into a Quality Assurance Report. Examples include, but are not limited to, Mock Code Drills, Pain Audit Sheets, Read-Back Monitors, Medication Administration Audits, etc. The information gleaned from these activities are then compiled into a report and sent through various committees for review and/or further recommendation.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	AV, then destroy		X	
SG4101	<p>NURSING DEPARTMENT - UNIT DUTY ROSTERS</p> <p>SHN DATES: January 2007 to present</p> <p>SHS DATES: Unknown to present</p> <p>DESCRIPTION: These records may include, but are not limited to, working schedules on the unit of staff responsibilities for each shift.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	CE + 1 year, then destroy		X	

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SG4102	<p>NURSING DEPARTMENT - UNIT DESK CALENDAR</p> <p>SHS DATES: Unknown to present</p> <p>DESCRIPTION: These calendars are kept on the desk of each unit and may include, but are not limited to, medical appointments and clinic visits.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	CE, then destroy		X	
SG4103	<p>NURSING DEPARTMENT - PATIENT SIGN-OUT</p> <p>SHS DATES: Unknown to present</p> <p>DESCRIPTION: These log books are kept on each unit and may include, but are not limited to patients who have achieved a certain level and can sign out to leave the unit and back in when they return.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	AV, then destroy		X	<p>RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240</p>

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SG4104	<p>NURSING DEPARTMENT - PATIENT SIGN-UP LISTS</p> <p>SHS DATES: Unknown to present</p> <p>DESCRIPTION: These records may include, but are not limited to, group sign up lists, laundry sign up lists, telephone lists for which patient is in line to use the phone next, etc.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4105	<p>NURSING DEPARTMENT - BATHROOM/TUB ROOM CHECKS</p> <p>DATES: Unknown to present</p> <p>DESCRIPTION: These records may include, but are not limited to, forms filled out by staff every 15 minutes to make sure the doors on the unit remain locked and that no unsafe behavior is taking place in the tub rooms.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	CE + 3 years, then destroy		X	

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SG4106	<p>NURSING DEPARTMENT - PATIENT PICTURE IN MEDICATION ROOM</p> <p>SHN DATES: Current patients</p> <p>SHS DATES: Current patients</p> <p>DESCRIPTION: These records may include, but are not limited to photos and/or other identifying information of the patient kept in the medication room for identifying the patient during medication pass. Upon discharge, the picture is sent with the patient stapled to their medication bag.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	AC, then give to patient or destroy		X	<p>RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240</p>
SG4107	<p>NURSING DEPARTMENT - CENSUS SHEETS</p> <p>SHN DATES: Unknown to present</p> <p>SHS DATES: Unknown to present</p> <p>DESCRIPTION: These records may include, but are not limited to lists of all patients on the unit and a check by staff that all patients are accounted for at the top of every hour.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	CE +1 year, then destroy		X	<p>RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240</p>

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – NURSING SERVICES-MEDICAL CLINIC

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4108	<p>NURSING DEPARTMENT - LAUNDRY CLEANING LOG</p> <p>DATES: Unknown to present</p> <p>DESCRIPTION: These records may include, but are not limited to lists for staff to sign off every night when the laundry room is cleaned.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	CE +3 years, then destroy		X	
SG4109	<p>NURSING DEPARTMENT - BLOOD GLUCOSE MONITORING SYSTEM</p> <p>DATES: Unknown to present</p> <p>DESCRIPTION: These records may include, but are not limited to worksheets that staff use to check off that the blood glucose monitor has been cleaned and checked prior to use every day and between uses.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	CE +3 years, then destroy		X	

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SG4110	NURSING DEPARTMENT RECORDS - PULSE OXIMETER AND SHARPS ACCOUNTABILITY SHEETS DATES: Unknown to present DESCRIPTION: These records may include, but are not limited to logs that staff use from shift to shift to make sure the pulse oximeter and/or sharps are accounted for and recorded, every shift. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE +3 years, then destroy		X	
SG4111	NURSING DEPARTMENT - PRECAUTIONS VERIFICATION SHEET DATES: Unknown to present DESCRIPTION: These records may include, but are not limited to sheets kept in the precautions book on each unit that nursing staff use to verify that all patients on precautions have a sheet in the precautions book each shift and then sign. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	

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SG4112	NURSING DEPARTMENT - REFRIGERATOR LOG SHN DATES: Unknown to present SHS DATES: Unknown to present DESCRIPTION: These records may include, but are not limited to forms for each fridge that is used to record the temperature inside the fridge to ensure that it is in the needed range. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE +3 years, then destroy		X	
SG4113	NURSING DEPARTMENT - DEFIBRILLATOR LOG SHN DATES: Unknown to present SHS DATES: Unknown to present DESCRIPTION: These records may include, but are not limited to logs for each defibrillator in the hospital that records that a check has been done on a nightly basis to ensure the battery is functional and the defibrillator is ready for use, if needed. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE +3 years, then destroy		X	

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SG4114	NURSING DEPARTMENT - MINUTES FOR PATIENT - LED GROUPS DATES: Unknown to present DESCRIPTION: These records may include, but are not limited to documentation kept by patients for some of the groups on the units, for example small group on adolescent unit and/or therapeutic community groups. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4115	NURSING DEPARTMENT RECORDS - LEVEL PRECAUTIONS SHEETS DATES: Unknown to present DESCRIPTION: These records may include, but are not limited to worksheets kept on the adolescent unit that record level changes for each patient, which is then recorded in the patient's medical record. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AC, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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SG4116	<p>NURSING DEPARTMENT - TARGET BEHAVIORS SHEET</p> <p>DATES: Unknown to present</p> <p>DESCRIPTION: These records may include, but are not limited to worksheets used on the adolescent unit for each patient that communicates to staff the behaviors being targeted for each patient which is then recorded in the patient's medical record.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	AV, then destroy		X	<p>RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240</p>
SG4117	<p>NURSING DEPARTMENT - APPROVED FOR PHONE CALL/VISITOR FOR PATIENT LISTS</p> <p>DATES: Unknown to present</p> <p>DESCRIPTION: These records may include, but are not limited to, lists kept for each adolescent of who can visit the adolescent and who the adolescent can call.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	AC, then destroy		X	<p>RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240</p>

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SG4118	<p>NURSING DEPARTMENT - LAB TRACKING SHEETS</p> <p>SHN DATES: January 2009 to present</p> <p>SHS DATES: Unknown to present</p> <p>DESCRIPTION: These records may include, but are not limited to, worksheets used on the units to track who needs labs drawn, and includes the date and time that the lab is to be drawn.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4119	<p>NURSING DEPARTMENT - INCENTIVE PROGRAM SHEETS</p> <p>DATES: Unknown to present</p> <p>DESCRIPTION: These records may include, but are not limited to worksheets used to track different incentive programs that patients may be on, for example behavioral plans.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	AC, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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SG4120	NURSING DEPARTMENT – CRISIS/SAFETY PLAN WORKSHEETS SHN DATES: Current patients SHS DATES: Current patients DESCRIPTION: These records may include, but are not limited to worksheets that are kept in a binder at the front desk or in the Cardex that give information to staff about specific Safety and/or Crisis Plans that patients are on. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AC, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4121	NURSING DEPARTMENT – UNIT MASTER PATIENT PICTURE SHEETS SHN DATES: Current patients SHS DATES: Current patients DESCRIPTION: These records may include, but are not limited to master patient sheets with pictures of all the patients on each unit that are used for precaution and safety checks by staff. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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SG4122	<p>NURSING DEPARTMENT - PATIENT EVALUATION SHEET</p> <p>DATES: Unknown to present</p> <p>DESCRIPTION: These records may include, but are not limited to worksheets used to track patient participation on the adolescent unit, activities of daily living, and/or target behaviors.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	AV, then destroy		X	<p>RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240</p>

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SG4123	<p>NURSING DEPARTMENT – AD-HOC WORKSHEETS</p> <p>VARIANT TITLES: Patient Admission Report, Vital Sign Tracking Sheet, etc.</p> <p>SHN DATES: Shredded upon entry into the patient record. SHS DATES: Shredded upon entry into the patient record.</p> <p>DESCRIPTION: These documents may include, but are not limited to, worksheets used by individual staff to gather information that is later used to create professional assessments and other progress notes that are then entered into the patient's record. After entry into the patient record, the worksheets are then shredded. These professional reports and/or progress notes may later be disseminated to relevant, outside individuals and agencies and are used for continuing patient care. Information gathered on these worksheets may include, but is not limited to, compilation of data that relates to behaviors, goals, level and status changes, etc.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	AV, then destroy		X	<p>RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240</p>

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SG4124	NURSING DEPARTMENT – EMPLOYEE RECORDS SHN DATES: Unknown to present SHS DATES: Unknown to present DESCRIPTION: These records may include, but are not limited to, employee documentation related to performance; copies of employee appraisals; copies of education and/or training records; copies of staff licenses and certifications, employee schedules, etc. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept Supvr Files	AC, then transfer entire file to HR		X	
SG4125	NURSING DEPARTMENT – LAB SLIPS DATES: Unknown to present DESCRIPTION: Paper slip filled out by the unit staff for patients requiring lab blood draws or other lab tests. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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SG4126	NURSING DEPARTMENT – BLOOD GLUCOSE CONTROL MONITORS SHN DATES: Unknown to present SHS DATES: Unknown to present DESCRIPTION: This is a list of time and units that the glucose controls have been completed that prints out in the lab. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE + 3 years, then destroy		X	
SG4127	NURSING DEPARTMENT – DENTAL APPOINTMENT BOOK DATES: Unknown to present DESCRIPTION: This is a yearly calendar kept in the dental area to track dental appointments. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE + 3 years, then destroy.		X	RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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SG4128	NURSING DEPARTMENT - DAILY LAB LOG SHN DATES: January 2009 to present SHS DATES: Unknown to present DESCRIPTION: List of Daily Labs drawn on each patient. This is a working copy for the lab; all information is entered into the patient's medical record. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4129	NURSING DEPARTMENT – CLINIC DESK CALENDAR DATES: Unknown to present DESCRIPTION: This is the daily working list for the clinic of patients needing to be seen from the units. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE, then destroy.		X	RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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SG4130	<p>NURSING DEPARTMENT – DISCHARGE SUMMERY PROCESS WORKSHEET</p> <p>SHN DATES: Unknown to present</p> <p>SHS DATES: Unknown to present</p> <p>DESCRIPTION: This is a form that is used to check off that all items are complete before patient discharge. This is kept with a copy of the discharge notification sent out via email from the units while the discharge is being planned.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4131	<p>NURSING DEPARTMENT – EKG WORKBOOK</p> <p>DATES: Unknown to present</p> <p>DESCRIPTION: This is a book that is used to keep and track all EKG's that are being completed. This information is then entered into the patient's medical record when complete.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	CE + 3 years, then destroy.		X	RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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SG4132	NURSING DEPARTMENT – CLINIC MEDICATION CABINET LOG DATES: Unknown to present DESCRIPTION: This is a log sheet on the medication cabinet in the Medical Clinic that is signed each evening to ensure the cabinet is locked while not in use. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE + 3 years, then destroy		X	
SG4133	NURSING DEPARTMENT – AUTOCLAVE PRINT OUT STRIPS AND LOG OF ITEMS STERILIZED DATES: Unknown to present DESCRIPTION: This is a log book kept of all the print out strips from the autoclave and the log book of items run. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE + 3 years, then destroy.		X	

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SG4134	NURSING DEPARTMENT – DENTAL RECORDS DATES: Unknown to present DESCRIPTION: Records kept by the Dental Team in the dental area for each patient that is seen. This information is then entered into the patient's medical record. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4135	NURSING DEPARTMENT – MEDICAL CLINIC SHADOW CHARTS DATES: Unknown to present DESCRIPTION: This is a shadow chart consisting of copies of documentation for each patient that is maintained and kept by the medical clinic for their own convenience. All information in these charts can be found in the patient's medical record or admission shared drives. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – NURSING SERVICES-MEDICAL CLINIC

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4136	<p>NURSING DEPARTMENT – EKG RECORDS</p> <p>DATES: Unknown to present</p> <p>DESCRIPTION: Paper copies of all EKG which are done at the hospital. The original information is kept in the patient's medical record.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	AV, then destroy		X	<p>RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240</p>
SG4137	<p>NURSING DEPARTMENT – NEBULIZER CHECK OUT LOG</p> <p>DATES: Unknown to present</p> <p>DESCRIPTION: This is a log to track the use and where nebulizers are checked off for use at any given time.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Nursing Dept	CE + 3 years, then destroy		X	

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

Vital: X-Record is vital for immediate operation of the office of origin or the institution

Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – NURSING SERVICES-MEDICAL CLINIC

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4138	NURSING DEPARTMENT – X-RAY’S DATES: Unknown to present DESCRIPTION: The actual processed x-ray films. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	CE + 10 years, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4139	NURSING DEPARTMENT – PULMONARY FUNCTION TEST LOG DATES: Unknown to present DESCRIPTION: This is a log of patients that receive a pulmonary function test and the results of it. The completed test is then entered into the patient's medical record. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Nursing Dept	AV, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

Vital: X-Record is vital for immediate operation of the office of origin or the institution

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – PATIENT'S RIGHTS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4140	<p>PATIENT'S RIGHTS - MISCELLANEOUS</p> <p>SHN DATES: 2005 to present</p> <p>SHS DATES: 1990 to present</p> <p>DESCRIPTION: These records may include, but are not limited to, documentation related to surveys, suggestions, patient grievances, letters, documentation from various sources, miscellaneous records, and/or the patient's rights' advocate.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Perform Improv Dept and/or Patient Represent ative Office	AC + 3 years;		X	<p>RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240</p>

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

Vital: X-Record is vital for immediate operation of the office of origin or the institution

Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – PERFORMANCE IMPROVEMENT

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4141	<p>PERFORMANCE IMPROVEMENT – QUALITY COUNCIL COMMITTEE</p> <p>SHN DATES: 1992 to present</p> <p>SHS DATES: January 2009 to present</p> <p>DESCRIPTION: The purpose of this committee is to assure that processes are in place to assure continual compliance with standards set forth by CMS (Centers for Medicare and Medicaid Services), the Joint Commission and state licensure. It reviews areas of service improvement and monitors quality of services to patients, staff and visitors. Indicators may include, but are not limited to ORYX Measures, NRI Core Measures and FMEA Studies. The minutes document attendance, date and time, topics discussed and/or decisions or recommendations made in relation to ongoing operations and function of the hospital.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Perform Improv't Dept	AC +3 years, then destroy		X	

LEGEND:

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Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

Vital: X-Record is vital for immediate operation of the office of origin or the institution

Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – PERFORMANCE IMPROVEMENT

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4142	<p>PERFORMANCE IMPROVEMENT – QUALITY COUNCIL REPORTS</p> <p>SHN DATES: 2004 to present</p> <p>SHS DATES: January 2007 to present</p> <p>DESCRIPTION: This record series may include, but is not limited to: a) ORYX (Quarterly) Non-Core Measures reported only to NRI; Elopement Rate, 30 Day Readmit (Discharge Cohort) Percent of Clients secluded, Seclusion Hours, Percent of Clients restrained, Restraint Hours, Core Measures reported to NRI and The Joint Commission: HBIPS-1.1 through HBIPS-1.7, b) Performance Improvement Reports (Quarterly) Seclusion/Restraint, Medication Administration Errors, SCNF Medication Administration Errors, Significant Event Reporting Patient Data, Significant Event Reporting Staff Data, NRI ORYX Reports, Patient's Rights Satisfaction Ratings Report; c) FMEA Studies (Hospital/LTC) Western Psychiatric Hospital Association (Annually) Medication Errors and Seclusion and Restraint.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Perform Improv Dept	AC +3 years, then destroy		X	<p>RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240</p>

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – PERFORMANCE IMPROVEMENT

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4143	<p>PERFORMANCE IMPROVEMENT - WORKSHEETS</p> <p>SHN DATES: 1998 to present</p> <p>SHS DATES: January 2007 to present</p> <p>DESCRIPTION: This record series may include, but is not limited to, Miscellaneous Worksheets for Reports including: a) ORYX (Quarterly) Non-Core Measures reported only to NRI; Elopement Rate, 30 Day Readmit (Discharge Cohort) Percent of Clients secluded, Seclusion Hours, Percent of Clients restrained, Restraint Hours, Core Measures reported to NRI and The Joint Commission: HBIPS-1.1 through HBIPS-1.7, b) Performance Improvement Reports (Quarterly) Seclusion/Restraint, Medication Administration Errors, SCNF Medication Administration Errors, Significant Event Reporting Patient Data, Significant Event Reporting Staff Data, NRI ORYX Reports, Patient's Rights Satisfaction Ratings Report; c) FMEA Studies (Hospital/LTC) Western Psychiatric Hospital Association (Annually) Medication Errors and Seclusion and Restraint.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Perform Improv Dept	AC +3 years, then destroy		X	<p>RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240</p>

LEGEND:

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Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

Vital: X-Record is vital for immediate operation of the office of origin or the institution

Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – PHARMACY

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4144	<p>PHARMACY - INSURANCE CLAIMS (FINANCIAL)</p> <p>DATES: May 2009 to present</p> <p>DESCRIPTION. Records may include, but are not limited to, medication claims sent through Medicare-Part D for prescription reimbursement.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Pharmacy Dept	AC + 3 years, then archive to Materials Management +7 years, then destroy		X	<p>RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240 IDAPA 27.01.01.008</p>

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – PHARMACY

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4145	PHARMACY – MEDICATIONS Variant Titles: Borrowed/Returned Log Injectable Sign Out Log Medication Sign Out Log Discharge Medication Sign Out Log, Drug Recalls Invega Sustena Replacement Program Log Guaranteed Returns Floor stock Packaging Logs Destruction Logs SHN DATES: 2008 to present SHS DATES: January 2004 to present DESCRIPTION: Records may include, but are not limited to, documentation of patient related medication dispensing, financial information, proprietary pharmacy administration, or other documentation related to registration, transportation, procurement, packaging, storage, recall and/or destruction. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Pharmacy Dept	AC + 3 years, then archive to Materials Management +4 years, then destroy		X	RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240 IDAPA 27.01.01.008

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – PHARMACY

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4146	<p>PHARMACY - INSPECTION RECORDS</p> <p>Variant Titles: Temperature Logs Inspector Logs for Controlled Substances Medication Cabinet Verification Log, Unit Med Room Inspection Log, Hood Inspection Report Hood Cleaning Log Thermometer Calibration Log Call Log Annual Inventory Board of Pharmacy Inspections</p> <p>SHN DATES: 2008 to present</p> <p>SHS DATES: January 2004 to present</p> <p>DESCRIPTION: Records may include, but are not limited to, information obtained from periodic quality assurance or non/scheduled inspections.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Pharmacy Dept	AC + 3 years, then destroy		X	<p>RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240 IDAPA 27.01.01.008</p> <p>(Some of the variant titles may contain DEA sensitive information and/or patient information)</p>

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – PHARMACY

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4147	<p>PHARMACY – CONTROLLED SUBSTANCE</p> <p>Variant Titles: CONTROL Substance Perpetual Inventory Count Control Substance Log Book (BOP), CII PLB Accountability, 222 Purchasing Forms Nursing Narcotics Shift Check Sheet Narcotic Dispensing Receiving Reports Controlled Substance Administration Records Controlled Destruction Log Legal Power of Attorney</p> <p>SHN DATES: 2008 to present</p> <p>SHS DATES: January 2004 to present</p> <p>DESCRIPTION: Records may include, but are not limited to, information that documents the control of medications that are classified as controlled substances by the DEA and Board of Pharmacy and/or records of Power of Attorney to obtain controlled substances for the facility.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Pharmacy Departme nt	AC + 3 years, then archive to Materials Management +4 years, then destroy	RA	X	<p>RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240</p> <p>(Some of the variant titles may contain DEA sensitive information and/or patient information)</p>

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – PHARMACY

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4148	<p>PHARMACY – DISCHARGE</p> <p>Variant Titles: CII Script Signatures Discharge Prescription Slips DATES: January 2004 to present</p> <p>DESCRIPTION: Records may include, but are not limited to, records of prescriber signatures of a Schedule II Medication for discharge and records of medications ordered at discharge.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Pharmacy Dept	AC + 3 years, then archive to Materials Management +4 years, then destroy		X	<p>RA – 45 C.F.R. § 164.502; IC 9- 340C(13); IC § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240</p>

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – SECURITY DEPARTMENT

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4149	SECURITY RECORDS – SHIFT REPORT DATES: January 2000 to present DESCRIPTION: These records may include, but are not limited to, a continuing account of significant events encountered by Security Officers and may include but is not limited to the following types of information, timeline entries of building security checks and/or status; response to Hospital emergencies; documentation of patient transport events; documentation of events involving the general public, family members of patient's and/or associated agencies, etc. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Security Dept	AC + 2 years, AV, then destroy		X	Idaho Code § 5-219
SG4150	SECURITY RECORDS – KEY ISSUE RECEIPT SHN DATES: 1995 to present SHS DATES: 2001 to present DESCRIPTION: These records include a record of the type of keys issued to employees assigned to State Hospital South, date the keys were issued, dates the keys are returned, etc. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	SHN – Mtce & Operations SHS - Security Dept	AC, then destroy		X	

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – SECURITY DEPARTMENT

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4151	SECURITY RECORDS – TEMPORARY ISSUE KEY LOG DATES: 2001 to present DESCRIPTION: These records may include, but are not limited to, logs that document employees who are temporarily issued keys, the Security Officer that issued the keys, the type of keys issued, the employee who received the key, and the date the keys were returned. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Security Dept	AC, then destroy		X	
SG4152	SECURITY RECORDS - VALUABLES DATES: 2000 to present DESCRIPTION: These records may include, but are not limited to a carbon copy of patient belongings stored in the Security Department secured storage room from the time of admission until the time of discharge. The original is stored in the patient medical record. The carbon copy contains the original signature of the employee who returned the patient's belongings at the time of discharge. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Security Dept	Adults –AC +7 years, then shred Minors –AC + age of majority, + 7 years, then shred		X	

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – SECURITY DEPARTMENT

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4153	<p>SECURITY RECORDS – EMPLOYEE RECORDS</p> <p>DATES: November 2002 to present</p> <p>DESCRIPTION: These records may include, but are not limited to, employee documentation related to performance; copies of employee appraisals; copies of education and/or training records; employee schedules, etc.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Security Dept	AC, then transfer entire file to HR		X	

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – SUPPORT SERVICES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4154	<p>SUPPORT SERVICES – PREVENTATIVE MAINTENANCE WORK ORDERS</p> <p>SHN DATES: 1995 to present</p> <p>SHS DATES: January 1, 2008 to present</p> <p>DESCRIPTION: These records may include, but are not limited to, information that documents regularly scheduled preventative maintenance on campus; examples may include fire extinguisher checks, boiler rounds, heat pumps, air handlers, emergency generators, smoke/fire/exit separations, etc., and are conducted on monthly, bi-monthly, quarterly, semi-annual, annual and/or other basis generated from an MP2 software program. Work Orders are printed out and given to the worker which is then filed after completion of the work.</p> <p>ARRANGEMENT: Paper and/or other photographically reproduced form or electronic medium.</p>	Mtce and/or Admin Support Services Admin. Assistant Office	CE + 3 years, AV then destroy		X	

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – SUPPORT SERVICES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4155	SUPPORT SERVICES – UTILITY/VENDOR BILLING SHN DATES: 2001 to present SHS DATES: Fiscal Year 2008 to present DESCRIPTION: These records may include, but are not limited to utility/vendor billing from the following agencies: Idaho Power, City of Blackfoot Water, Intermountain Gas; Avista Utilities, ComData, etc. ARRANGEMENT: Paper and/or other photographically reproduced form or electronic medium.	Mtce and/or Admin Support Services Admin. Assistant Office	FE + 3 years, AV then destroy			
SG4156	SUPPORT SERVICES – SITE PLANS SHN DATES: 1949 to present SHS DATES: 1931 to present DESCRIPTION: These records may include, but are not limited to, information that documents maps and floor plans of each building on campus. ARRANGEMENT: Paper and/or other photographically reproduced form or electronic medium.	Mtce and/or Admin Support Services Director's Office	PM, LA	A	X	

LEGEND:

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Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – SUPPORT SERVICES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4157	SUPPORT SERVICES - CONTRACTS AND/OR AGREEMENTS FOR DPW, H&W, SHS; FARM SHN DATES: 1985 to present SHS DATES: 1972 to present DESCRIPTION: These records may include but are not limited to, information that documents contracts and/or agreements (copies and/or originals) for the following entities; DPW, H&W, SHS; Farm which includes, but is not limited to the following; construction projects and land leases. ARRANGEMENT: Paper and/or other photographically reproduced form or electronic medium.	Mtce and/or Admin Support Services Admin. Assistant Office	AC (or after final payment under the contract - whichever is greater) + 5 years, AV then destroy	A	X	Idaho Code § 5-216
SG4158	SUPPORT SERVICES - ADMINISTRATIVE MINUTES & DEPARTMENT NOTES SHN DATES: 1992 to present SHS DATES: January 2009 to present DESCRIPTION: These records may include, but are not limited to, information that documents Support Services Department, EOC Sub-Committees; Utility, Security, and Hazardous Waste meetings. ARRANGEMENT: Paper and/or other photographically reproduced form or electronic medium.	Mtce and/or Admin Support Services Admin. Assistant Office	CE + 3 years, AV, then destroy		X	

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

Vital: X-Record is vital for immediate operation of the office of origin or the institution

Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – SUPPORT SERVICES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4159	SUPPORT SERVICES – CEMETERY RECORDS DATES: 1890 - 1981 DESCRIPTION: These records may include, but are not limited to, information that documents various listings (alphabetical by surname, grave number, chronological by date of death) of burial information related to graves in the SHS cemeteries and may include, but is not limited to, patient names, dates of death, grave numbers, cemetery plot information and plot maps. ARRANGEMENT: Paper and/or other photographically reproduced form or electronic medium.	Support Services Admin. Assistant Office	PM	A	X	
SG4160	SUPPORT SERVICES - MOTOR VEHICLE RECORDS; INSURANCE, REGISTRATION, ACCIDENT REPORTS SHN DATES: 1998 to present SHS DATES: 1980 to present DESCRIPTION: These records may include, but are not limited to, information that documents current motor vehicle cleaning schedules, automotive insurance certificates, motor vehicle registration, and all accident reports. ARRANGEMENT: Paper and/or other photographically reproduced form or electronic medium.	Mtce and/or Admin Support Services Admin. Assistant Office	US *		X	*Exception – Accident reports will be kept for the statute of limitations period, under Idaho Code § 5-219, which is 2 years.

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4161	SUPPORT SERVICES - INSPECTIONS; ENVIRONMENTAL, ELEVATOR, DEPT. OF BUILDING SAFETY SHN DATES: 1995 to present SHS DATES: 2002 to present DESCRIPTION: These records may include, but are not limited to, information that documents campus inspections, certification of elevators, and/or buildings. ARRANGEMENT: Paper and/or other photographically reproduced form or electronic medium.	Mtce and/or Admin Support Services Admin. Assistant Office	CE + 5 years, AV then destroy		X	
SG4162	SUPPORT SERVICES/MAINTENANCE -MAINTENANCE CALL BACK LOG DATES: FY 2010 - present DESCRIPTION: These records may include, but are not limited to, information that documents maintenance personnel called after hours for potential problems pertaining to after hour's maintenance issues at SHS. ARRANGEMENT: Paper and/or other photographically reproduced form or electronic medium.	Support Services Admin. Assistant Office	AV, then destroy			

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – SUPPORT SERVICES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4163	<p>SUPPORT SERVICES - EMPLOYEE INFORMATION</p> <p>SHN DATES: 2000 to present</p> <p>SHS DATES: June 2009 to present</p> <p>DESCRIPTION: These records may include, but are not limited to, copies of performance appraisals; education and/or in-service training records; employee medical information.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	<p>Mtce and/or Admin</p> <p>Support Services Dept Directors Office</p>	AC, then transfer to HR		X	

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – SYRINGA CHALET NURSING FACILITY

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4164	RISK MANAGEMENT RECORDS – SIGNIFICANT EVENT REPORT – ADMINISTRATIVE REVIEW - PATIENT Dates: January 2012 to present DESCRIPTION: These reports may include, but are not limited to, the name of the resident, their location, event description, charge RN review, Treatment Team review and/or Disposition. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Syringa Chalet Admin Offices	AC + 7 years, then destroy		X	RA- 42 C.F.R. § 483.75(l)(4) 45 C.F.R. § 164.502 Idaho Code § 9-340C(13) Idaho Code § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4165	ABUSE INVESTIGATION REPORT Dates: January 2010 to present DESCRIPTION: Abuse Investigation Report submitted to the Bureau of Facility Standards within five working days of the allegation/incident. Components of the investigation may include, but are not limited to: date/time of incident; description of event; summary of resident, staff and witness interviews. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Syringa Chalet Admin Offices	AC + 7 years, then destroy		X	RA- 42 C.F.R. § 483.75(l)(4) 45 C.F.R. § 164.502 Idaho Code § 9-340C(13) Idaho Code § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

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Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – SYRINGA CHALET NURSING FACILITY

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4166	ENVIRONMENTAL SAFETY HAZARD CHECKS Dates: CMS survey to survey DESCRIPTION: Information may include, but is not limited to, environmental checks of resident room, day area and other common areas. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Syringa Chalet Admin Office	AC, plus 3 years		X	
SG4167	EXAMINATION OF SURVEY RESULTS Dates: January 2006 to present Dates: Current CMS Survey DESCRIPTION: The survey of the facility conducted by Federal and/or State surveyors and any plan of correction with respect to the facility. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Syringa Chalet Admin Office Syringa Chalet 1 st Street Nursing Station	AV, plus 3 years		X	With respect to any specific patient information in the survey: 42 C.F.R. § 483.75(l)(4) 45 C.F.R. § 164.502 Idaho Code § 9-340C(13) Idaho Code § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – SYRINGA CHALET NURSING FACILITY

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4168	<p>LICENSURE SURVEY & FIRE SAFETY SURVEY</p> <p>Dates: January 2006 to present</p> <p>Dates: Current CMS Survey</p> <p>DESCRIPTION: Each year a State Licensure Survey is conducted by the Bureau of Facility Standards (BFS), division of Medicaid, Department of Health & Welfare. We are required to provide a Plan of Correction, should we be deemed non-compliant on any issue. A copy of all correspondence with BFS and the Plan of Correction is kept on file for 7 years.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	<p>Syringa Chalet Admin Office</p> <p>Syringa Chalet 1st Street Nursing Station</p>	AC + 7 years		X	<p>With respect to any specific patient information in the survey:</p> <p>42 C.F.R. § 483.75(l)(4) 45 C.F.R. § 164.502 Idaho Code § 9-340C(13) Idaho Code § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240</p>

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – SYRINGA CHALET NURSING FACILITY

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4169	PERSONNEL FILES Dates: Current employees DESCRIPTION: These records may include, but are not limited to, employee documentation related to hiring, CNA licenses, Nursing (RN & LPN) licenses, Administrator licenses and any other certification for that person, copies of PAN's, documentation related to performance, copies of performance appraisals; education records; in-service training records; employee medical information; employee schedules and/or labor allocation, vacation or sick leave requests, etc. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Syringa Chalet Admin Office/ Nursing	AC, then transfer to HR		X	
SG4170	REQUISITIONS FOR PURCHASING Dates: January 2012 to present DESCRIPTION: Carbon copies of requisitions made for purchasing items for facility or patient use at SCNF. The original is routed to Materials Management where they are then entered into Navision for purchasing. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Syringa Chalet Admin Office	AV, CE			

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – SYRINGA CHALET NURSING FACILITY

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4171	WORKING DESK MANUAL Dates: January 2009 to present DESCRIPTION: These records may include, but are not limited to, up-to-date information kept as patients are admitted, transferred and discharged, Resident Census, Resident Listing by Room Number, Patient pictures, Clothing Advocate Assignments and Reviews, Resident Advocate/Guardian List, Trust and Benefits Account Information, Syringa Map/Floor Plan, Required Paperwork (a spreadsheet kept for maintaining Court documents and Resident Rights), reports due (notification to others of Court documents and H&P's are due), Resident Discharge and Re-admission checklist, Admission log, Discharge Log, Statistics, PASRR Dates for Residents and Old Resident Census. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Syringa Chalet Admin Office	AV, AC		X	RA- 42 C.F.R. § 483.75(l)(4) 45 C.F.R. § 164.502 Idaho Code § 9-340C(13) Idaho Code § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240
SG4172	APPLICATIONS FOR LICENSURE Dates: January 2006 to present DESCRIPTION: Each year an application for licensure is submitted to the Bureau of Facility Standards. The applications, along with a copy of the licenses and the original once a new one is received are kept on file for 7 years. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Syringa Chalet Admin Office	AC + 7		X	

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – SYRINGA CHALET NURSING FACILITY

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4173	<p>ROOT CAUSE ANALYSIS – SENTINEL EVENT (The Joint Commission)</p> <p>Dates: January 2009 to present</p> <p>DESCRIPTION: Performed only when a Sentinel Event occurs. This information along with reports is kept on file for 7 years. Information contained in the Root Cause Analysis may include, but is not limited to the following: level of analysis; questions; diagnosis; human factors; equipment factors; controllable environment factors; uncontrollable external factors; human resources issues; Information management issues; environmental management issues; leadership issues; uncontrollable factors; and an action plan.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Syringa Chalet Admin Office	AC + 7		X	<p>RA- 42 C.F.R. § 483.75(l)(4) 45 C.F.R. § 164.502 Idaho Code § 9-340C(13) Idaho Code § 39-1392 to 1392f Idaho Code § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240</p>

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – SYRINGA CHALET NURSING FACILITY

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4174	<p>ADVANCE DIRECTIVES MANUAL</p> <p>Dates: Current Residents with Advanced Directives on File</p> <p>DESCRIPTION: After review from the Deputy Attorney General's Office, a copy of each resident's advance directive is kept in a binder for easy access and a copy is also scanned into the patient's electronic medical record where it is retained permanently.</p> <p>ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.</p>	Syringa Chalet Admin Office	AC, then binder copy is shredded		X	<p>RA- 42 C.F.R. § 483.75(l)(4) 45 C.F.R. § 164.502 Idaho Code § 9-340C(13) Idaho Code § 66-348 IDAPA 16.05.01.075 IDAPA 16.05.01.221 IDAPA 16.05.01.240</p>

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, INSTITUTIONS – UTILIZATION REVIEW

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4175	UTILIZATION MANAGEMENT COMMITTEE SHS DATES: 1990 to present DESCRIPTION: These records document meetings of the Unit Leadership Council that may include, but are not limited to, discussions and decisions made by the committee regarding Utilization Management. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Perform Improv't Dept	AC +3 years, then destroy		X	
SG4176	UTILIZATION MANAGEMENT RECORDS-MISC SHN DATES: 2009 to present SHS DATES: 1990 to present DESCRIPTION: These records may include, but are not limited to, Medicaid Retrospective Reviews, Medicaid Claims Appeals, Insurance Communication Records, and Monthly Discharge Chart Audits. ARRANGEMENT: Paper and/or electronic or other photographically reproduced form or electronic medium.	Perform Improv't Dept	AC + 3 years, then destroy			

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, SUBSTANCE ABUSE, ADMINISTRATIVE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0023	LITIGATION CASE FILES Document judicial proceedings, which involve the state agency. Files include some or all of the following documents: affidavits, summons and complaints, responses, orders of dismissals, notice and general appeal, laws and regulations applying to a particular case, legal briefs, transcripts of proceedings, orders, court decisions, and related information.	Substance Use Disorders	PM			Contact State Archivist.

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, SUBSTANCE ABUSE, BUDGET RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0102	GRANT MONTHLY REPORTS, BLOCK Monthly reports on grants received by State agencies from the Federal Government, which may contain applications, notice of award, program reports, and correspondence.	Substance Use Disorders Mental Health	AC +3, then destroy			
SG0103	GRANT YEARLY REPORTS, BLOCK Annual reports on grants received by State agencies from the Federal Government, which may contain applications, notice of award, program reports, and correspondence.	Substance Use Disorders Mental Health	PM			Contact State Archivist.
SG0108	GRANT CASE FILES Accepted proposals and applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence and other records relating to review, award, evaluation, status and monitoring of grants; allocation of funds and project budgets.	Substance Use Disorders Mental Health	AC + 3, then destroy			

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, BEHAVIORAL HEALTH, SUBSTANCE ABUSE, COMMUNICATION RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0307	TELEPHONE MESSAGE REGISTERS Message registers, logs, performance reports, daily load reports, and related or similar records.	Substance Use Disorders Mental Health	AC +6 months, then destroy			

LEGEND:

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