



**DEPARTMENT OF PERSONNEL & ADMINISTRATION
STATE ARCHIVES AND PUBLIC RECORDS
RECORDS DISPOSITION SCHEDULE**

ARCHIVES NO. 10-11

DEPARTMENT PUBLIC HEALTH & ENVIRONMENT	DIVISION HEALTH FACILITIES DIVISION	SECTION CENTRALIZED FILES	PERMANENT <input checked="" type="checkbox"/>	NON-PERMANENT <input checked="" type="checkbox"/>
ITEM NO.	DESCRIPTION	RETENTION PERIOD	SPECIAL INSTRUCTIONS	
1	<u>Architectural Blue Prints of Health Care Facilities</u> (Non-Confidential) - Facility construction plans required as part of licensure process.	6 years plus current		
2	<u>Best Practices Files</u> - Submissions from facilities to be shared via internet and manuals with other facilities re: particularly successful programs and practices. (Non-Confidential)	5 years plus current	May be <i>periodically</i> discontinued due to lack of funding.	
3	<u>Budget Work Papers</u> - Annual budget preparation papers. (Non-Confidential)	3 years plus current	Section 7 - Budget Records	
4	<u>Complaint Investigations & Supporting Documents</u> (Confidential) - Complaints against facilities such as resident abuse or neglect.	5 years plus current		
5	<u>Construction (Life Safety Code) Files</u> (working files) - Environmental and fire safety documentation. May contain confidential information.	Permanent	<i>Note: No record shall be destroyed that pertains to any pending legal case, claim, action or audit.</i>	
6	<u>Court Cases</u> - Supporting documentation not actually filed in court (Confidential)	10 years plus current		
7	<u>Court Documents</u> - Filed (duplicate copies) (Confidential)	Until no longer needed		
8	<u>Drafts</u> - Draft copies of occurrences, deficiency lists*, history, complaints (Confidential)	Until no longer needed	Section 1-34	
9	<u>Employee Travel Reimbursement Vouchers & Records & Petty Cash Records</u> (for office supplies, etc.) (May contain confidential information)	3 years plus current	Section 7F - Expenditures	
10	<u>Enforcement Files</u> (Adverse Action, Plan of Correction; duplicates) (Non-Confidential)	5 years plus current	<i>If Civil Money Penalties are imposed, start retention from settlement date.</i>	

I request approval of the above records disposition schedule. Retention periods have been established by this agency after careful evaluation of all of the factors listed in the State Records Management Policies and Procedures Manual. I hereby certify that I am authorized to act for the head of this agency in matters pertaining to disposal of records. I also certify that I will comply with all conditions listed in the Records Management Policies and Procedures Manual.

State Archivist's Signature <i>Terry Ketsel</i>	Date 8/19/2009	Records Liaison Officer's Signature <i>Betsy Lauah</i>	Date 08-13-2009
Attorney General's Signature <i>John W. Suthers by KAllin</i>	Date 1/8/2010	State Auditor's Signature <i>Patricia J. ...</i>	Date 11/4/09



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ITEM NO.	DESCRIPTION	RETENTION PERIOD		SPECIAL INSTRUCTIONS			
11	<u>Facility Files (Public)</u> - Containing certification documents and misc. correspondence (Always review first for confidential information.) Includes the following types of facilities: <ul style="list-style-type: none"> • Hospitals (all types) • Swing Beds • Perspective Payment Systems • 75% Review Certs - Rehab • Nursing Homes • Hospices • Assisted Living Residences • Home Health • Developmentally Disabled • Adult Day Care • Elderly, Blind & Disabled • Rural Health Clinics • Personal Care Homemaker • Community Clinic • Electro-Convulsive Treatment • Community Mental Health Clinic • Ambulatory Surgical Center • Outpatient Phys. Therapy Clinic • Comprehensive Outpatient Rehab Facility • Residential Care Facility • Portable X-ray Facility • End Stage Renal Dialysis Facilities • Long Term Care Facilities 	For documents within file, 5 years plus current.		(*See Exception 11A below)			
11A	Joint Commission on Accreditation of Healthcare Organization Documents (JCAHO) * - Forms and correspondence within <u>Facility Files</u> .	Permanent					
12	<u>Facility Files (Public) - Closed</u> (May contain confidential information)	5 years plus current after closure.					
13	<u>Facility History Reports & Profiles - Online Survey Certification and Reporting (OSCAR)</u> - Data base report containing most recent 3 years of facility info (Oscar 3). (Non-Confidential)	5 years plus current		Pull and retain Joint Commission on Accreditation of Healthcare Organization Documents (JCAHO) permanently.			



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ITEM NO.	DESCRIPTION	RETENTION PERIOD		SPECIAL INSTRUCTIONS			
14	<u>Federal Monitoring Surveys</u> – Reports of results of congressionally mandated performance oversight surveys (Federal Oversight Support Survey (FOSS) and Comparative) performed by Regional Centers for Medicare & Medicaid Services (CMS) office during or after HF surveys.	7 years plus current					
15	<u>Fitness/Compliance Reviews</u> – Reports pertaining to a new owner/change of business ownership. (Confidential)	5 years plus current					
16	<u>Health Maintenance Organization (HMO) Files</u> – Containing HMO documents such as Annual Fiscal Statements, Credentialing Policies, Insurance Agreements, Quality Management Programs, Intercompany Agreements (including Network Agreements and network proposals), expansion proposals, Provider Agreements, Children's Basic Health Plan Applications, and Statements of Actuarial Opinion. May contain confidential information.	Permanent					
17	<u>Infection Control Worksheets for Ambulatory Surgical Centers</u> (Confidential)	5 years plus current					
18	<u>Informal Review Files</u> (Confidential) Facility disputes against deficiency citations. Final letter to facility with revised Deficiency List is Non-Confidential, all else <i>may be</i> Confidential.	5 years plus current					
19	<u>Internal Policy and Procedures</u> (Non-Confidential)	5 years after superseded					
20	<u>Internal Quality Review documents</u> (Confidential)	Until superseded					
21	<u>Joint Commission on Accreditation of Healthcare Organization Documents</u> (Non-Confidential) See Facility Files.	Permanent					
22	<u>Licensure Documents</u> (Non-Confidential) – Facility licensing forms, applications, correspondence and stipulations.	5 years plus current		<i>Maintain original application for 5 years after facility closure.</i>			



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ITEM NO.	DESCRIPTION	RETENTION PERIOD		SPECIAL INSTRUCTIONS			
23	<u>Malpractice Reports & Documentation</u> (Synopsis and/or duplicates/may contain confidential information)	5 years plus current					
24	<u>Medication Administration Files</u> – Annual Instructor contracts and related paperwork, schedules, class lists and evaluations (May be originals/may contain confidential information)	6 years after expiration of contract		Section 11-3 (Temporary Employees)			
25	<u>Nurse Staffing Files</u> - All facility types, containing <i>Quarterly Census Reports, Outside Resources forms, changes in Director of Nursing</i> (Non-Confidential)	5 years plus current		Phased out August 2002. <i>Retention now applies to each component kept as a separate file type: Census Reports and Outside Resource forms in binders, DON changes in Facility Files.</i>			
26	<u>Occurrence Files</u> (Confidential) - Self-monitoring facilities' reports on deaths, injuries, etc.	5 years plus current		Computer has 3 years; additional 2 years must be maintained as hard copies.			
27	<u>Ownership/Control of Premises Documents</u> (Confidential; may contain SSN numbers) - Disclosure forms submitted for certification.	5 years plus current		<i>Lease agreements and extensions may be permanent if still applicable.</i>			
28	<u>Payroll – HFD employee Leave Applications</u> (May contain confidential information)	3 years plus current		Section 10-12			
29	<u>Payroll – HFD employee Time & Attendance Reports</u> (May contain confidential information)	5 years plus current		Section 10-23			
30	<u>Personnel Records and Awards</u> (duplicates) (Confidential) – May include job description and employee actions.	5 years plus current from last day of employment					
31	<u>Quality Assurance Plans/Quality Management Files</u> (Confidential)	5 years after superseded					



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ITEM NO.	DESCRIPTION	RETENTION PERIOD		SPECIAL INSTRUCTIONS			
32	<u>Records Disposition Files</u> (Non-Confidential) – Where, when and how records are stored and destroyed.	Permanent		Section 1-28 (See also 1-27 & 1-29)			
33	<u>Resident Quality Improvement Program (ResQUIP) Case Files</u> – Facility evaluation forms, resident surveys, on-site evaluations, questionnaires and correspondence pertaining to Resident Centered Quality Improvement Program and state grant money incentives. (May contain confidential information.)	5 years plus current		Section 2-8. Grant Case Files (with modified retention per departmental option.)			
34	<u>Secured Unit Files/LTC</u> (Confidential) – Floor plans, approval letters, interoffice communications, bed change proposals, policies and procedures re: compliance proposals for Chapter V, Section 19. May contain resident names.	Permanent					
35	<u>State Standards & Revisions</u> (Non-Confidential)	Permanent					
36	<u>Survey Files</u> (Working Files) (Confidential) (Includes Survey Report Forms and surveyors' notes)	5 years plus current					
37	<u>Third Step Appeal Files</u> – Appeal paperwork generated as part of the grievance procedure per Chapter V, 12.6. (Confidential – contains very specific resident information.)	5 years plus current and all rights of appeal have expired					
38	<u>Vendor Contracts for Services and Goods, including grants</u> (May be originals/may contain confidential information)	6 years after contract ends plus any terms limiting action thereunder		Section 7 – Contracts and Purchase Order files			
39	<u>Vouchers for Purchase of Goods & Services</u> (May contain confidential information)	3 years plus current		Section 7 - Expenditures			



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ITEM NO.	DESCRIPTION	RETENTION PERIOD		SPECIAL INSTRUCTIONS			
40	<u>Waiver Correspondence Files</u> – Requests and responses for various types of facility regulation waivers, such as staffing minimums and plumbing fixtures per capita issues. (Non-Confidential)	Permanent					
41	<u>Waiver Review Surveyor Notes</u> – Research notes and facility review documents generated during the waiver review process. May contain internal emails and memos. (Confidential)	Permanent					