

## COUNTY NURSING HOMES

<u>AR#</u>	<u>TITLE OF RECORDS</u>	<u>RETENTION SCHEDULE</u>
16800	Articles of Organization and Understanding - Nursing Home Board of Trustees	Permanent in office.
16801	Auxiliary Bylaws (original and revisions)	Permanent in office.
16802	Board of Directors Listing (private operator)	Retain until superseded, then destroy.
16803	Board of Trustees - Member Appointments	Permanent or transfer to State Archives.
16804	Board of Trustees - Minutes of Meetings and Supportive Documents	Permanent or transfer to State Archives. Security microfilm at discretion.
16805	Board of Trustees - Correspondence	Evaluate for legal, administrative, and historical value for transfer to State Archives. Retain remaining records 5 years, then destroy.
16806	Bond Election and Bond Sale Records (after 1973 elections conducted by county clerks)	Retain 2 years after bond issue is paid in full, then destroy. If bond issue fails, retain 1 year, then destroy.
16807	Bond and Interest Registers and Bonds	Retain 2 years after bond issue is paid in full, then destroy.
16808	Interest Coupons on Bonds	Retain 5 years, then destroy. If payment information is recorded elsewhere, retain 2 years and destroy.
16809	Legal Notices (certified copies of legal notices published in newspaper, etc.)	Retain 3 years, then destroy.

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<b>Administration</b>		
16810	Administrator - Certificate	Permanent or transfer to State Archives.
16811	Bids Records (except capital improvements) -Bids -Requests for Quotations -Specifications	Retain 3 years, then destroy.
16812	Budget Files -Budget -Budget Reports Supplemental Budgets	Retain 5 years, then destroy.
16813	Budget Preparation Files	Destroy at discretion.
16814	Capital Improvement Projects Records (capital expenditures for construction or major improvements)	Permanent or transfer to State Archives.
16815	Census Information (department, actual days, total available days, percent occupancy, average residents per day, etc.)	Retain 7 years, then destroy at discretion.
16816	Communicable Disease Reports to State and Local Health Department	Retain 3 years, then destroy.
16817	Contracts and Agreements with Other Agencies - Original and Revisions - Includes but not limited to: -City, County, Fire Districts -Emergency Evacuations -Mass Casualty Plant - Fire Safety Plan Policies and Procedures	Retain 5 years, then destroy; or transfer to State Archives after review by administrator for continued legal or administrative value.
16818	Correspondence - Administrator	Evaluate for legal, administrative, and historical value for transfer to State Archives. Retain remaining records 5 years, then destroy.
16819	Construction Project Records	Permanent or transfer to State Archives.
16820	Court Cases and Records of Court Cases	Permanent in office.
16821	Deeds, Abstracts of Title and Other Property Records	Permanent in office.

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<b>Administration (Cont'd)</b>		
16822	Delineation of Nursing Home Privileges - Medical Staff	Permanent or transfer to State Archives.
16823	Donation Records - Major Donations Includes but not limited to: -Bequests -Endowments -Estates -Trusts	Permanent or transfer to State Archives; or microfilm at discretion, then destroy.
16824	Equipment Records - Operation Manuals - Purchase Records - Warranties SEE ALSO "Maintenance" Records	Retain for life of equipment, then destroy.
16825	Fire Drill Records	Retain 3 years, then destroy unless litigation pending.
16826	Incident Reports - Employees - Residents - Visitors	Permanent in office; or retain 8 years, then microfilm and destroy.
16827	Inspection Records Including but not limited to: - Elevators - Fire Marshal - Health - Building Code SEE ALSO "Fire Drills Records" and "Maintenance" Records	Retain 5 years, then destroy.
16828	Inventory Records - Equipment - Fixed Assets - Furniture - Housekeeping Supplies - Linen Supplies - Maintenance	Retain 5 years, then destroy at discretion.
16829	Lease Agreements - Real Property (original and revisions)	Permanent or transfer to State Archives

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<b>Administration (Cont'd)</b>		
16830	Legal Opinions	Permanent in office.
16831	Licenses and Permits - Permanent Includes but not limited to: <ul style="list-style-type: none"> <li>- Alcohol</li> <li>- Blood Bank</li> <li>- Certificate of Need</li> <li>- Dispense Narcotic Drugs</li> <li>- Federal, Regional</li> <li>- Heliport</li> <li>- Institution</li> <li>- Laboratory</li> <li>- Pharmacy</li> <li>- Radioactive Materials</li> <li>- X-ray</li> </ul>	Permanent in office.
16832	Licenses and Permits - Periodically Renewable Includes but not limited to: <ul style="list-style-type: none"> <li>- Food</li> <li>- Ratio (F.C.C.)</li> <li>- Sales</li> </ul>	Retain 5 years after expiration, then destroy.
16833	Medical Staff Bylaws	Permanent in office
16834	Memoranda - Incoming/Other Agencies	Destroy at discretion.
16835	Memoranda - Outgoing	Destroy at discretion of administrator.
16836	Minutes of Meetings Includes but not limited to: <ul style="list-style-type: none"> <li>- Department</li> <li>- Infection Control Committee</li> <li>- Quality Assurance Committee</li> <li>- Safety Committee</li> </ul>	Permanent in office; or retain 3 years, then transfer to State Archives; or microfilm at discretion, then destroy.
16837	Organization Chart	Retain until superseded, then destroy.
16838	Policies and Procedures Manuals - Originals and Revisions (policies and procedures for all offices for their operation)	Permanent or transfer to State Archives, or microfilm and destroy. Destroy duplicates at discretion when superseded.

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<b>Administration (Cont'd)</b>		
16839	Publications of Nursing Home (brochures, pamphlets and books - includes resident's Bill of Rights and handbooks)	Transfer one copy at time of publication to State Archives. Destroy duplicates at discretion when superseded.
16840	Scrap Books, Clippings, and News Releases (publicity, news stories, etc. regarding nursing home and staff)	Destroy at discretion.
16841	Special Studies and Project Records - Planning for Construction - Program Changes, etc.	Retain 20 years, then transfer to State Archives after review by administrator for administrative value.
16842	State and Local Government Information Report (EEO-4 form) (if required to file with Equal Employment Opportunity Commission)	Retain 2 years, then destroy at discretion.
16843	Surveys: Includes but not limited to: - State - Medicare Title XVIII - Medicaid Title XIX - OSHA	Permanent in office.
16844	Volunteer Time and Minor Donations Records	Destroy at discretion.

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<b>Accounting</b>		
16845	Accounts Receivable Adjustments (code, patient #, date, amount, credit adjustment or debit adjustment)	Retain 2 years, then destroy.
16846	Accounts Receivable Payments (includes patient, date, code, and amount)	Retain 2 years, then destroy.
16847	Audits (reports, memos, correspondence)	Permanent or retain 4 years, then microfilm and destroy.
16848	Bank Reconciliation Statement (month, balance per bank statement, deposits in transit, checks outstanding, adjusted bank balance, balance per general ledger)	Retain 2 years, then destroy.
16849	Bank Statements and Cancelled Checks	Retain 2 years, then destroy.
16850	Cash Flow Report (month, description, receipts, disburse, balance, balance variance )	Retain 5 years, then destroy.
16851	Checkbook Stubs and Check Copies	Retain 5 years, then destroy.
16852	Deposit Slips	Retain 5 years, then destroy.
16853	Direct Distance Dialed Telephone Calls - Log	Retain 1 year, then destroy.
16854	Financial Reports - Daily and Monthly	Retain 2 years, then destroy.
16855	Financial Reports - Year End	Retain 5 years, then destroy.
16856	Ledger Sheets (expenditures and receipts)	Permanent in office, or retain 5 years, then microfilm and destroy.
16857	Medicare and Medicaid Rules and Regulations	Permanent in office
16858	Monthly Telephone Bills	Retain 2 years, then destroy.
16859	Personal Auto Mileage for Nursing Home by Driver/by Month (for reimbursement)	Retain 4 years, then destroy.
16860	Petty Cash Reconciliation and Request for Reimbursement (date, cash count, disbursements by voucher number and payee, account and amount approvals, date, check number)	Retain 2 years, then destroy.

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<u>AR#</u>	<u>TITLE OF RECORDS</u>	<u>RETENTION SCHEDULE</u>
<b>Accounting (Cont'd)</b>		
16861	Rates and Charges (complete charge book for all department charges, including room rates)	Permanent in office; or retain 10 years, then transfer to State Archives; or microfilm at discretion and destroy.
16862	Receipts and Transmittals Records (residents, etc. - forms, input)	Retain 5 years, then destroy.
16863	Receiving Report (vendor, purchase order number, unit, quantity, description, remarks, received by, date received)	Retain 2 years, then destroy.
16864	Reconciling Items a/k/a Reconciliation Worksheet (month, date of deposit, deposit in transit amount, checks outstanding, check number, amount)	Retain 2 years, then destroy.
16865	Residential Financial Information Includes but not limited to: - Financial Agreement - Title XIX, Eligibility for Medicaid - Resident Payment Ledger - Verification of Receipt of Residents' Rights Information	Retain 5 years, then destroy.
16866	Returned Goods Memorandum (vendor name, purchase order number, unit, quantity description, reason for return, returned by, date returned)	Retain 2 years, then destroy.
16867	Stop Payment Order (check number, net amount, date issued, payee, explanation, authorization)	Retain 2 years, then destroy.
16868	Travel Expense Voucher	Retain 4 years, then destroy.
16869	Uncollectible Debt Records (uncollectible accounts receivable)	Retain 5 years, then destroy.
16870	Vendors' Files a/k/a Voucher Files (invoices, vouchers, requisitions, purchase orders, and related correspondence)	Retain 3 years, then destroy.

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<u>AR#</u>	<u>TITLE OF RECORDS</u>	<u>RETENTION SCHEDULE</u>
<b>Central Supply</b>		
16871	Equipment Distribution Record and Use Report	Retain 2 years, then destroy.
16872	Lot or Inventory Control Sheet or Record	Retain 5 years, then destroy.
16873	Product Evaluation Form	Destroy at discretion.

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<u>AR#</u>	<u>TITLE OF RECORDS</u>	<u>RETENTION SCHEDULE</u>
<b>Dietary</b>		
16874	Dietary Requisitions and Orders (if requests for dietary department for nourishments, coffee, etc. maintained for billing)	Destroy at discretion of nursing home administration.
16875	Federal Commodity Program Records (if participating in Federal food surplus programs)	Retain 4 years, then destroy.
16876	Meal Counts (summary information)	Retain 2 years, then destroy.
16877	Menus	Retain 5 years, then destroy unless litigation is pending.
16878	Resident's Diet List (rooms, resident's name, reg., light, surgical, liquid, bland, special, special orders)	Destroy at discretion
16879	Temperature Control Sheets - Refrigerators	Permanent in office.

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<u>AR#</u>	<u>TITLE OF RECORDS</u>	<u>RETENTION SCHEDULE</u>
<b>Insurance</b>		
16880	Insurance Claims - Paid - Blue Cross - Medicare - Medicaid - Veteran's Administration - Other Miscellaneous - Group Health Insurance	Retain 5 years, then destroy.
16881	Outpatient/Inpatient Insurance Information Forms (patient information, responsible party information, insurance, attending physician, etc.)	Retain 1 year after account paid in full, then destroy.

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<u>AR#</u>	<u>TITLE OF RECORDS</u>	<u>RETENTION SCHEDULE</u>
<b>Linen</b>		
16882	Laundry Poundage Record (yearly summary by month by item)	Retain 1 year, then destroy.
16883	Linen Replacement Analysis (yearly summary by month by item. May be used for budget preparation)	Destroy at discretion.
16884	Monthly Laundry Report or Monthly Cost Analysis	Destroy at discretion.

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<b>Maintenance</b>		
16885	Blue Prints and Specifications	Permanent in office.
16886	Boiler Inspection - State and Insurance Company	Permanent in office.
16887	Inspection Logs Includes but not limited to: <ul style="list-style-type: none"><li>- Air Handling Equipment Log</li><li>- Boiler Log</li><li>- Emergency Generator Log</li><li>- Fire Sprinkler Log</li><li>- Water Softener Log</li></ul>	Retain for life of equipment, then destroy at discretion. (Insurance policies may recommend longer retention periods.)
16888	Preventative Maintenance Card	Retain for life of equipment, then destroy.

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<u>AR#</u>	<u>TITLE OF RECORDS</u>	<u>RETENTION SCHEDULE</u>
<b>Medical Records</b>		
16889	Master Patient Index (index card on any in/out/emergency to find record chart number for each admission number, unit number, patient number, serial number)	Permanent in office; or microfilm at discretion, then destroy. CONFIDENTIAL.
16890	Medical Care Evaluation Studies	Retain 3 years, then destroy.
16891	Outpatient Records - Diagnostic Records (lab, x-ray, EKG, EEG, physical therapy/respiratory, unit system/number assigned)	Retain 10 years, then destroy; or microfilm at discretion, then destroy. Destroy by shredding or burning. CONFIDENTIAL.
16892	Patients' Register Books	Permanent in office; or microfilm at discretion, then destroy. CONFIDENTIAL.
16893	Residents' Death Registers	Permanent in office.
16895	Resident's Medical Records - Including but not limited to: <ul style="list-style-type: none"> <li>- Attending Physician's Orders and Progress Notes</li> <li>- Record of Diagnosis</li> <li>- Pathology Reports</li> <li>- Discharge Summary</li> <li>- Physical and Social History</li> <li>- Consent to Treatment</li> <li>- Record of Death</li> <li>- Outpatient Reports</li> <li>- Transfer Forms</li> <li>- Nursing Assessment and Charting</li> <li>- Treatment Records</li> <li>- Therapy Records, e.g. Physical, Respiratory, Occupational</li> <li>- Activities Assessment</li> <li>- Social Service Assessment</li> <li>- Dietary Assessment</li> <li>- Overall Plan of Care and Quarterly Reviews</li> </ul>	Retain 5 years after resident's death or discharge, then destroy unless litigation is pending.

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<b>Medical Records (Cont'd)</b>		
16896	Statistical Summaries and Abstract Information - Patient Index - Diagnosis Index (Disease Index) - Physicians' Index - Nursing Home Statistical Summary	Permanent in office; or retain 10 years, then transfer to State Archives; or microfilm at discretion, then destroy.
16897	Utilization Reviews and Worksheets	Retain 3 years, then destroy.
16898	Utilization Reviews Plan (UR plan)	Retain 1 year after superseded, then destroy.

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<u>AR#</u>	<u>TITLE OF RECORDS</u>	<u>RETENTION SCHEDULE</u>
<b>Personnel and Payroll</b>		
16899	Authorization for Payroll Deductions Including but not limited to: - Savings Bonds - United Fund - Credit Union	Retain 4 years after inactive, then destroy.
16900	Automatic Payroll Deposit Cards a/k/a Bank Deposit Authorization Cards	Retain 2 years after inactive, then destroy.
16901	Earning Record - Leave, a/k/a Employee Record Card (Personal Information, payroll information, and vacation, sick leave, etc. earned. Also contains daily record of hours worked for year)	Retain 4 years, then destroy.
16902	Employee Performance Appraisal or Evaluation Records	Retain until superseded, then destroy.
16903	Employee Status Worksheet (input – D.P. information, coding)	Destroy at discretion after checking printout for updated information.
16904	Employee Time Card or Time Sheets (name, department, station, period ending, day of month, hours worked, code, department okay, totals, signatures – employee and department head)	Retain 4 years, then destroy.
16905	Group Enrollment Card - Health, a/k/a Application for Health Insurance Coverage (single or family coverage)	Retain 4 years after inactive, then destroy.
16906	Group Enrollment Card - Insurance (Life) (New insured or change in coverage)	Retain 4 years after inactive, then destroy.
16907	Job Descriptions (All Employees)	Destroy duplicates at discretion.
16908	Payroll Garnishment Records	Retain 4 years after inactive, then destroy by shredding or burning. CONFIDENTIAL.
16909	Payroll Register	Retain 4 years, then destroy.
16910	Payroll Work Sheet a/k/a Worksheet - Payroll Proof	Retain 2 years, then destroy.

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<b>Personnel and Payroll (Cont'd)</b>		
16911	Personnel File (Master File) Permanent Records: - Employee Physical Examinations and Medical History - Employee Termination Records - Employee's Chronological Record and Salary History (Salary Increase, Transfer and Change of Status Records) - New Employee Registration Sheet, Applications and Hiring Records - Personnel Information Request Forms	Permanent in office, or retain 4 years after separation, then transfer to State Archives; or microfilm at discretion, then destroy by shredding or burning. CONFIDENTIAL.
16912	Personnel Files - Other Forms and Personnel Records	For records not scheduled separately, retain 4 years, then destroy. CONFIDENTIAL.
16913	Personnel Hiring Records (All Employees) Including but not limited to: - Interview Records - Letters of Inquiry - Records on Publicity and Publication of Position - Test Records and Scores - Unsuccessful Applications and Supporting Documents	Retain 2 years after position filled, then destroy by shredding or burning. CONFIDENTIAL. (Application, etc. of hired personnel to become part of personnel file.)
16914	Personnel Requisition a/k/a Request for Personnel a/k/a New Positions Request File	Retain 1 year, then destroy.
16915	Request for Check - Early Check (date of request, date check needed, reason, employee's signature)	Destroy at discretion.
16916	Request for Leave of Absence (information, signature of employee, approvals)	Retain 4 years, then destroy.
16917	Savings Bonds Records (deduction authorizations, reports, listings, histories)	Retain 4 years after inactive, then destroy.
16918	Social Security (F.I.C.A.) Report - Quarterly	Retain 4 years, then destroy.
16919	Test and Test Score Cards (typing, dictation, etc.)	Retain 2 years, then destroy by shredding or burning. CONFIDENTIAL.
16920	United Fund Records (deduction authorizations, reports)	Retain 4 years, then destroy.
16921	Vacation Schedules - Departmental	Destroy at discretion.

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<b>Personnel and Payroll (Cont'd)</b>		
16922	W-2 Wage and Tax Statement (IRS Earnings and deductions statement)	Retain year-end forms 4 years, then destroy. If year-end form created on terminated employees, then retain termination W-2 forms 1 year, then destroy.
16923	W-4 Form a/k/a Employee's Withholding Exemption Certificate (name, social security number, address, claimed exemptions, signature and date)	Retain 4 years after separation from employment or superseded, then destroy.
16924	Worker's Compensation Records	Retain 6 years, then destroy.

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<b>Pharmacy</b>		
16925	Eight-Hour Nurses Audit Record for Narcotics and Sedatives a/k/a Narcotics Shift Sheet (date, time, signatures of on-coming and off-going nurses – nurses count sedatives)	Retain 2 years, then destroy.
16926	Narcotic Disposition Record (Form #PP-23) (Drug, strength, form, date issued, issued by, nursing unit, date, time, number, patient, room number, physician, dose, nurse, balance)	Retain 5 years, then destroy.

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<u>AR#</u>	<u>TITLE OF RECORDS</u>	<u>RETENTION SCHEDULE</u>
<b>Physical Therapy</b>		
16927	Patient Count Per Day Form - Physical Therapy (monthly record)	Retain 1 year, then destroy at discretion.
16928	Physical therapy Referral a/k/a Requests for Treatment (physician's prescription or order for therapy treatment)	If duplicated in medical records, retain 3 years, then destroy. If not, retain 5 years after therapy is discontinued, then destroy.
<b>Physical Therapy (Cont'd)</b>		
16929	Physical Therapy Reports a/k/a Physical Therapy Chart (attached to: patient's lab reports, physical therapy discharge summary, etc.)	If duplicated in medical records, retain 3 years, then destroy. If not, retain 5 years after therapy is discontinued, then destroy.
16930	Physical Therapy Treatment Plan (used for both inpatient and outpatient)	If duplicated in medical records, retain 3 years, then destroy. If not, retain 5 years after therapy is discontinued, then destroy.

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<b>Quality Assurance</b>		
16931	Infection Control - Infection Control Worksheets	Retain 3 years, then destroy.
16932	Quality Assurance Studies	Retain 3 years, then destroy.
16933	Quality Control Forms - Air Quality, etc. - Temperature Graphs - X-ray	Retain 5 years, then destroy.
16934	Quality Control Strips Including but not limited to: - Quantitative Gas-strip Control Strip - Unistrip (for use in steam autoclaves)	Destroy at discretion.
16935	Sterilization Monitors Including but not limited to: - Bacteriologist Report and Sterilization Report on Envelope - "Check-A-Clave" Autoclave Test Record (card) - E.T.O "Check-A-Clave" Sterilization Test (card) - E.T.O. "Loadacator" Sterilization Test (card) - "Loadacator" Autoclave Record System - "Surgispore" Control Piece (strip) - Room Dismissal record (Including isolation room)	Retain 5 years, then destroy.

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<b>Respiratory Therapy</b>		
16936	Patient Care Plan	If duplicated in medical records, retain 3 years, then destroy. If not, retain 5 years after therapy is discontinued, then destroy.
16937	Patient Flow Sheets and Ventilator Flow Sheet	If duplicated in medical records, retain 3 years, then destroy. If not, retain 5 years after therapy is discontinued, then destroy.
16938	Respiratory Therapy Order Form a/k/a Requests for Treatment (physician's prescription or order for respiratory therapy)	If duplicated in medical records, retain 3 years, then destroy. If not, retain 5 years after therapy is discontinued, then destroy.