

Schedule 150-1-3-1

**NEBRASKA HEALTH AND
HUMAN SERVICES
HUMAN SERVICES SYSTEM
BEATRICE STATE DEVELOPMENTAL
CENTER
August 3, 2005**

Nebraska Records Management Division
3242 Salt Creek Circle
Lincoln, NE 68504
(402) 471-2559

**REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

SCHEDULE	150-1-3-1
AGENCY, BOARD OR COMMISSION	NEBRASKA HEALTH AND HUMAN SERVICES
DIVISION, BUREAU OR OTHER UNIT	HUMAN SERVICES SYSTEM: BEATRICE STATE DEVELOPMENTAL CENTER
Supersedes Edition of Schedule 21 Public Institutions, June 2, 1996	

**TO: STATE RECORDS ADMINISTRATOR
STATE OF NEBRASKA**

PART I -- AGENCY STATEMENT

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE <i>Nancy Montaney</i>	
TITLE <i>Director</i>	DATE <i>7/27/05</i>

PART II - ARCHIVAL APPROVAL

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE <i>Andrea I. Faliv</i>	DATE <i>8/3/05</i>
STATE ARCHIVIST	

PART III -- APPROVAL BY STATE RECORDS ADMINISTRATOR

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE <i>Jim D. Hale</i>	DATE <i>8/3/05</i>
STATE RECORDS ADMINISTRATOR	

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guideline for storing and disposing of agency records, **regardless of the media on which they reside**, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. This retention schedule, which is approved by the State Records Administrator, provides your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

DISPOSING OF RECORDS

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods. Unless there is pending or on going, legal action, records request, or audit.
3. For records requiring a review of, or transfer to the **NE State Historical Society (State Archives)**, your agency is required to contact the State Archives to negotiate the transfer. Additionally, **once the records are accessioned into their collection, they become the property of the State Archives** (Neb. Rev. Stat. §82-105). The State Archives may remove selected records in accordance with standard archival practices to ensure efficient access, organization and enduring historical value (Neb. Rev. Stat. §82-107). Please contact their office by calling (402) 471-4783.
4. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is located on the Secretary of State Records Management website. https://appengine.egov.com/apps/ne/sos_records_disposition_report. This report establishes that the destruction was performed in your normal course of business.

NON-SCHEDULED RECORDS

Contact a Records Management Specialist in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

SCHEDULE UPDATE

It is the responsibility of each agency to periodically update their schedule. A Records Management Specialist in Records Management can assist you with the schedule update, which may involve adding new records series and making revisions to existing items. Keeping your schedule current will ensure you have the ongoing authority to discard records when their useful life has ended.

QUESTIONS

If you have any questions about these procedures, please contact your agency Records Officer or the Records Management Specialist in Records Management. They will help you with any questions the schedule may present, including: transferring records to the State Records Center or microfilming records, scanning records, etc.

**Records Management Division
3242 Salt Creek Circle
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402-471-2559**

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SCHEDULE 150-1-3-1 – HEALTH AND HUMAN SERVICES SYTSTEM – BEATRICE STATE DEVELOPMENTAL CENTER

150-1-3-1-1 GENERAL RECORDS

150-1-3-1-1-1 CARD FILE, INDEX (OBSOLETE 2000)

Is used as a locating aid for other records.

Immediately dispose of obsolete records.

150-1-3-1-1-2 FEDERAL ASSISTANCE RECORDS

Applications, correspondence and actions relative to funding received from federal grants/contracts or other instruments of agreement.

ACCEPTED: Dispose of 5 years after last action, provided audit has been completed.¹

REJECTED: Dispose of 2 years after date of notification of rejection, or 3 years after date of application, whichever is later.

150-1-3-1-1-3 GRANT APPLICATIONS

Application packages for federal/foundation funding for department/program projects.

Dispose of after 2 years, or after no longer of administrative value, whichever is later.

150-1-3-1-1-4 MINUTES REQUIRED FOR STANDARDS COMPLIANCE

Meeting minutes of standing committees at BSDC required for audit and survey by regulatory or accrediting agencies.

Dispose of after 6 years, provided audit has been completed.¹

150-1-3-1-1-5 POLICY & PROCEDURE MANUALS

Dispose of 10 years after superseded or obsolete, subject to review by the State Archivist for possible accession.

150-1-3-1-1-6 PROJECT REVIEW REQUESTS

Records of projects requested by facility. May include justifications, cost estimates, and time for completion, project schedule.

Dispose of after 1 year, or after project is completed, or after no longer pursued by the facility, whichever is later.

150-1-3-1-2 ADMINISTRATIVE RECORDS

150-1-3-1-2-1 BI-ANNUM HHSS AND FACILITY GOALS AND OBJECTIVES

Plans set with time frames for implementation.

Dispose of after 5 years.

150-1-3-1-2-2 EXTERNAL SURVEY OF FACILITIES AND APPLICATION FOR LICENSE

May include either certification or licensure survey results, plans or correction and/or correspondence from HHSS Regulations/Licensure, VA, CMS, or JACHO.

Dispose of after 10 years.

150-1-3-1-2-3 LICENSES, STATE OF NEBRASKA AND FEDERAL

Correspondence and applications for licenses, including Hospital, Health Clinic, Domiciliary, Nursing, and Pharmacy.

Dispose of 5 years after license expires or is superseded.

150-1-3-1-2-4 MEMBER COUNCIL COMPLAINTS/GRIEVANCES/RULES & REGULATIONS (OBSOLETE 2000)

Combined file for participant complaints and filing of grievances, and the rules and regulations which cover the authority requirement and responsibility part of members rights.

Dispose of 5 years after participant is deceased or discharged.

150-1-3-1-2-5 PARTICIPANT GRIEVANCES

Complaints filed against the facility or individual working or living within facility.

Dispose of after 10 years.

150-1-3-1-2-6 PROVIDER CERTIFICATION (OBSOLETE 2000)

Final report of agency regulatory compliance visits performed by division staff.

Immediately dispose of obsolete records

150-1-3-1-2-7 SAVINGS INSTITUTION RECORDS

File for maintaining facility copy of agreement/contract for accounts in savings institutions.

Dispose of 5 years after the contract/agreement is finalized or complete.

150-1-3-1-2-8 STATE CARE STAFF MEMBER'S LISTINGS (OBSOLETE 2000)

Copy of HHSS approved list of employees authorized to perform duties within the scope of practice of a Certified Staff Care Specialist.

Immediately dispose of obsolete records.

150-1-3-1-2-9 ABUSE/NEGLECT CASE REPORT INFORMATION

Monthly summation for the Human & Legal Rights Committee of abuse/neglect cases and actions taken for each.

Dispose of 10 years after participant is deceased or discharged, subject to review by the State Archivist for possible accession.

150-1-3-1-3 ACCOUNTING

**150-1-3-1-3-1 ACCOUNTING MASTER FILE TRANSACTION
(OBSOLETE JULY 2001)**

Computer input form used in setting up the master file. Includes budget by quarter, program and service area.

Immediately dispose of obsolete records.

150-1-3-1-3-2 DOCUMENT TRANSMITTAL (OBSOLETE 2001)

Summary listing of payment documents submitted by the facility to the HHSS Finance and Support.

Dispose of 1 year following the end of the fiscal year to which the records pertain, provided audit has been completed.¹

150-1-3-1-3-3 EMERGENCY CASH FUND RECONCILIATION

Monthly reconciliation of Emergency Fund warrants and Bank Account.

Dispose of after 3 years, provided audit has been completed.¹

150-1-3-1-3-4 END OF MONTH REPORT (OBSOLETE 2000)

Monthly storeroom material and supply inventory form and request for inventory adjustment for overages and shortages. Shows everything issued from storeroom by department.

Immediately dispose of obsolete records.

150-1-3-1-3-5 FUND 6820 REPORT

Quarterly financial report of Carstens' Café and Sheridan Industries and Amusement Fund.

PRINTOUT: Dispose of after 10 years, provided audit has been completed.¹

ELECTRONIC DATA: Backup daily; dispose of 1 year following the end of the fiscal year to which the records pertain, provided audit has been completed.¹

SECURITY BACKUP COPY: Dispose of after superseded.

**150-1-3-1-3-6 HHS EXTRACT FROM NAS CONTROL TOTALS
(OBSOLETE WITH THE IMPLEMENTATION OF NIS)**

Monthly computer-generated report shows all expenditures by division (except payroll) which are extracted from DAS Accounting's tapes.

Immediately dispose of obsolete records.

**150-1-3-1-3-7 HHS EXTRACT FROM PAYROLL CONTROL TOTALS
(OBSOLETE WITH THE IMPLEMENTATION OF NIS)**

Monthly computer-generated report lists the dollar amount of payroll expenditures by division extracted from DAS Accounting's payroll tapes.

Immediately dispose of obsolete records.

150-1-3-1-3-8 HHSS FACILITY PAYROLL REPORT (OBSOLETE WITH THE IMPLEMENTATION OF NIS)

Bi-weekly computer print out report received from Finance & Support providing a detailed breakdown of the payroll voucher by subprogram and individual and is used as a budgeting and accounting tool.

Immediately dispose of obsolete records.

150-1-3-1-3-9 PROJECT REPORTING (OBSOLETE JULY 2001)

Monthly computer-generated report received from HHSS Finance and Support lists month-to-date and year-to-date expenditures for costs that cannot be included in per diem rate.

Immediately dispose of obsolete records.

150-1-3-1-3-10 REQUEST FOR SUPPLIES

Internal facility form used to requisition supplies from facility supply center.

Dispose of after 5 years.

150-1-3-1-3-11 RESPONSIBILITY REPORTING (OBSOLETE JULY 2001)

Monthly computer report received from HHSS Finance and Support lists actual monthly and year-to-date expenditures and variances from planned expenditures that are included in the per diem rate.

Immediately dispose of obsolete records.

150-1-3-1-3-12 RESPONSIBILITY REPORTING - STATISTICAL (OBSOLETE JULY, 2001)

Monthly computer-generated report received from HHSS Finance and Support lists cost per service unit for each service area (cost per meal, cost per pound of laundry cleaned, etc.).

Immediately dispose of obsolete records.

150-1-3-1-3-13 SERVICE RENDERED REPORT

Form used to input such service information as the number of meals served, pounds of clothes laundered, number of x-rays taken, etc

Dispose of after 3 years, provided Medicaid/Medicare audit has been completed. ¹

150-1-3-1-3-14 TIMESHEETS & INPUT RECORDS FOR PARTICIPANT PAYROLL SYSTEMS

All information used in recording participant's work time and pay determinations.

Dispose of after 3 years, provided audit has been completed. ¹

150-1-3-1-4 DENTAL

150-1-3-1-4-1 DENTAL APPOINTMENT BOOK

Daily schedule of patients' dental appointments.

Dispose of after 1 year.

150-1-3-1-4-2 DENTAL RECORD

May include patient's name, location, date of service, type of service, health history.

Transfer to Medical Record files item # 150-1-3-1-8-16.

MICROFILM SECURITY COPY: Transfer to security storage; dispose of after 99 years.

MICROFILM WORK COPY: Dispose of after 99 years.

ALL OTHER COPIES: Dispose of after 2 years.

150-1-3-1-4-3 STERILIZATION INTEGRATOR RECORD: DAILY LOG SHEET

Records sterilizer settings and Thermalog S readings after each use.

Dispose of after 4 years.

150-1-3-1-4-4 X-RAY FILMS, DENTAL

Radiographic picture of particular anatomical part of the patient's mouth.

Dispose of after verification of death of participant, or after 99 years, whichever is sooner.

150-1-3-1-5 DIETARY - FOOD SERVICE

150-1-3-1-5-1 CLAIM FOR REIMBURSEMENT FOR CHILD NUTRITION PROGRAM

Form submitted to the Nebraska Department of Education seeking reimbursement for breakfast and lunch programs. This includes the "actual count" forms of how many students actually participated in the program on a daily basis.

Dispose of after 3 years, provided audit has been completed. ¹

150-1-3-1-5-2 COMMODITY FOOD RECORDS

Ordering forms and receiving reports for Commodity Foods.

Dispose of after 5 years.

150-1-3-1-5-3 FOOD PRODUCTION REPORT

Summary of census, meals, snacks, and beverages produced. Record of actual menu served.

Dispose of after 90 days.

150-1-3-1-5-4 MENUS SERVED

Record of actual menu served.

Dispose of after 1 year, or until State Survey is completed, whichever is later.

150-1-3-1-5-5 TEMPERATURE CHARTS

Record of temperatures of freezers, dish machines, refrigerators, thaw rooms, coolers, etc.

Dispose of after 1 year, or until State Survey is completed, whichever is later.

150-1-3-1-6 HOUSEKEEPING

150-1-3-1-6-1 CHECKLIST/OBSERVATIONS OF AREAS

Checklist of items needed to be taken care of on a continual basis to assure a clean and sanitary environment.

Dispose of after employee's annual performance evaluation is discussed with employee.

150-1-3-1-6-2 MATERIAL SAFETY DATA SHEETS (MSDS)

Material safety data sheets originate with the chemical companies that provide various chemicals or products that facilities use in various departments. MSDSs report the harmful substances contained in the products used and what steps are necessary if a person comes into contact with the substance.

Dispose of 5 years after chemical is no longer used at the facility.

**150-1-3-1-6-3 SCHEDULED ASSIGNMENTS & FLOOR AREAS
MANUAL**

May include record of when floor is re-furnished and carpet is cleaned, and products used.

Dispose of after 1 year, or after no longer of administrative value, whichever is later.

150-1-3-1-7 HUMAN RESOURCES

**150-1-3-1-7-1 AGENCY QUARTERLY MERIT INCREASE REPORT
(OBSOLETE 2000)**

Quarterly report required by DAS Personnel and provides name, salary, classification title and percent of merit increase awarded.

Immediately dispose of obsolete records.

150-1-3-1-7-2 ALL-FACILITY NEW HIRE ORIENTATION

A copy of each new hire's dated and signed checklist and orientation packet (if given).

Dispose of 10 years after termination of employment.

150-1-3-1-7-3 HHSS WORKPLACE POLICIES (OBSOLETE 2001)

Description of HHS (HHSS) policies and procedures.

Transfer to the State Archives for possible accession.

150-1-3-1-7-4 INTERNAL COMPLAINTS (OBSOLETE 2000)

A written document outlining an employee lodged complaint on non-grievable issues requiring facility investigation and action.

Immediately dispose of obsolete records.

150-1-3-1-7-5 JOB DESCRIPTION FORM

Personnel job description form used to compare job positions for reclassification.

Dispose of after superseded.

150-1-3-1-7-6 JOB VACANCY NOTICES

Internally generated vacant position notification form or listings.

Dispose of after 4 years.

150-1-3-1-7-7 MEDICAL REPORTS, EMPLOYEE

Record of any medical information on employees.

Dispose of 10 years after termination of employment.

150-1-3-1-7-8 ORIENTATION AND INSERVICE CURRICULUMS

A copy of the learning objectives and goals, summary competency standards, and training material including handouts, readings, videotapes, etc. This should include range of dates the curriculums were used.

Dispose of 10 years after curriculum termination or change.

150-1-3-1-7-9 PERFORMANCE EVALUATIONS

Performance evaluations done on employees. Union is NAPE/AFSCME, Nebraska Association of Public Employees, Local 61 of American Federation of State, County and Municipal Employees.

NAPE/AFSCME EMPLOYEES: Dispose of according to union contract agreement, see Schedule 124, EMPLOYEE HISTORY FILE.

NON-UNION EMPLOYEES: See Schedule 124, EMPLOYEE HISTORY FILE.

150-1-3-1-7-10 PERSONNEL DIARY NOTES (OBSOLETE 2000)

Contains pertinent information involving grievances, investigations, disputed issues, disciplinary action, abuse and neglect and other personnel related investigative and result notes.

Immediately dispose of obsolete records.

150-1-3-1-7-11 POSITION VACANCY/INTERVIEW FILES

Records containing a brief description of position being filled, date interviewed, recruitment effort if applicable, interview of questions and answers, and applicant application.

Dispose of 4 years after position is filled.

150-1-3-1-7-12 SPECIFIC NEW HIRE ORIENTATION

A copy of the dated and signed competency checklist for most new hire service, department, unit, or clinical/support area orientation.

Dispose of 10 years after termination of employment.

**150-1-3-1-7-13 VACATION POSTING SCHEDULES
(NAPE/AFSCME CONTRACT)**

A completed list posted on April 15 of each year identifying each bargaining unit employee's vacation schedule for the year.

Dispose of after 1 year, or after superseded, whichever is later.

150-1-3-1-7-14 WRITTEN NOTICE OF ALLEGATIONS

Form used to notify employees of pending allegations against them for consideration of a possible disciplinary action.

Dispose of after 2 years or after 4 years for workplace/sexual harassment.

**150-1-3-1-8 PARTICIPANTS SERVED RECORDS/FACILITY
MEDICAL RECORDS**

150-1-3-1-8-1 ADMISSION CONTACT FORMS/PRE-ADMISSION NOTES

Information regarding potential admissions to BSDC.

ADMITTED: Transfer to Medical and Central Record File; dispose 10 years after death or discharge.

NOT ADMITTED: Dispose of after 2 years.

150-1-3-1-8-2 ADMISSION LEDGER/NUMBER INDEX

Confidential ledger is used for assigning case numbers to participants served. May include name, county of residence, case number, date admitted, date discharged, and death/discharge code.

ORIGINAL RECORD: Retain permanently.

150-1-3-1-8-3 APPOINTMENT BOOK

List of scheduled consultations.

Dispose of after 3 years, or after no longer of administrative value, whichever is later.

**150-1-3-1-8-4 AUTHORIZATION FOR THE DISCLOSURE OF
PROTECTED HEALTH INFORMATION**

Form signed by the individual or guardian authorizing the release of protected health information.

INDIVIDUALS WHO RESIDE AT BSDC: Transfer to Central Records to be filed in the legal section of the individual's file.

INDIVIDUALS WHO NO LONGER RESIDE AT BSDC: Retain 6 years.

150-1-3-1-8-5 CORRESPONDENCE

Letters and correspondence sent or received regarding individuals who reside at BSDC.

Destroy 5 years after date sent.

150-1-3-1-8-6 DEATH JOURNAL

Records deaths at BSDC. Includes cause of death and place of internment.

Retain permanently.

150-1-3-1-8-7 DISEASE INDEX

Listing of certain diseases by case. Used as a research tool. Record originally kept on paper and is now electronic.

PAPER: Retain permanently.

ELECTRONIC DATA: Backup daily; retain permanently.

SECURITY COPY: Retain permanently.

150-1-3-1-8-8 EEG TRACING AND REPORT

EEG tracing and written report of physician's interpretation of EEG. May include the requisition for the EEG.

ORIGINAL RECORD: Transfer, Medical Record File; microfilm and dispose.

MICROFILM SECURITY COPY: Transfer to security storage; dispose of after 99 years.

MICROFILM WORK COPY: Dispose of after 99 years.

ALL OTHER COPIES: Dispose of after 2 years.

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150-1-3-1-8-9 EEG TRACING (OBSOLETE 2000)

Paper on which EEG tracing is recorded.

Dispose of after 10 years.

150-1-3-1-8-10 EKG TRACING AND CONFIRMED REPORT

EKG tracing and written report of physician's interpretation of EKG. Original EKG fades over time. A photocopy is made of it.

ORIGINAL: Dispose of after copy is made.

COPY: Transfer to, Medical Records File. Microfilm after individual is deceased or discharged for one year.

MICROFILM SECURITY COPY: Transfer to security storage; dispose of after 99 years.

MICROFILM WORK COPY: Dispose of after 99 years.

ALL OTHER COPIES: Dispose of after 2 years.

150-1-3-1-8-11 EKG TRACING AND UNCONFIRMED REPORT

Paper on which EKG tracing and unconfirmed report is recorded.

Dispose of after EKG Tracing and Confirmed Report, see item #150-1-3-1-8-8.

**150-1-3-1-8-12 HABILITATION PLANS, DAILY DATA SHEETS,
MONTHLY PROGRESS REPORTS**

Short-term objectives from annual evaluations that records the progress of the individual. Daily data sheets are summarized on monthly progress reports; monthly progress reports are summarized in the annual discipline report.

Destroy after 5 years.

150-1-3-1-8-13 INTER-INSTITUTIONAL & INTER-AGENCY TRANSFER

Transfer forms, which record transfer of participants served between BSDC and other facilities.

Transfer to Medical Record and Central Record Files; dispose of 10 years after discharge or death of participant.

**150-1-3-1-8-14 INTERSTATE TRANSFER OF DEVELOPMENTALLY
DISABLED (OBSOLETE 2000)**

Records transfers of participants from state to state.

ORIGINAL RECORD: Destroy 10 years after death or discharge

150-1-3-1-8-15 LIFE SKILLS INVENTORY

Check sheet of abilities.

Destroy after 2 years.

150-1-3-1-8-16 MASTER PATIENT INDEX

Card file index of all admissions to the facility with basic demographic information and information regarding length of stay and admission and discharge dates.

Retain permanently.

150-1-3-1-8-17 INDIVIDUAL FILES

All records maintained by BSDC and stored in the Medical Record or Central Record Office. Includes, admission memo, discharged/deceased memo, switchboard card, death summary, autopsy report, all legal papers, social history/first evaluations, psychological, last annual evaluation, release evaluation, school attendance reports, transfer forms, social service notes, Medical Record demographics card, immunization records, weight/seizure records, medication summary, recertification, annual history and physical examination reports, consultant reports, laboratory reports, radiology reports, hospital charts (excluding Medicare certification/decertification and validation statement, MARS/TARS, reports from other facilities, Nursing Pre-op Care checklist, Post-op checklist, Admission/Dismissal checklist, Personal Belonging checklist, Transfer checklist, Living Unit Communication form, Physician Statement letter, Discharge Planning notes, and Summary of Hospital Stay), computer orders and triplicates from OPC chart.

Microfilm 1 year after individual is deceased or discharged.

MICROFILM SECURITY COPY: Dispose of after 99 years.

MICROFILM WORK COPY: Dispose of after 2 years.

ALL OTHER COPIES: Dispose of after 2 years.

Reports from other hospital and doctors following admission or visit, psychiatric team meeting notes, Annual Evaluations (IPP & IEP – except first and last which are microfilmed), team meetings, discipline reports, habilitation summaries, diet changes, TD DISCUS evaluations, memos regarding fractures or incidents kept in the medical file, personal inventory card, Discharge Recommendation Book, Utilization Review, Living Unit Nursing file, and part of hospital charts (see part (1)).

Destroy 10 years after death or discharge.

150-1-3-1-8-18 MOVEMENT LISTING

Admissions, discharges, or deaths. Includes vacations, returns, AWOL, living unit transfers.

Retain permanently.

150-1-3-1-8-19 PHOTOGRAPHS FOR IDENTIFICATION

Photographs used for identification.

Dispose of after superseded, or at death or discharge, whichever is sooner.

150-1-3-1-8-20 REFERRAL FOLLOW-UP LOG

Responses to referrals when a referral is made to another health care facility.

Dispose of after 6 years.

150-1-3-1-8-21 RELATED STATISTICS

All daily, monthly, quarterly, semi-annual, and annual statistics and reports used to monitor utilization of resources, including movement, budgeting, staffing, etc.

DAILY: Dispose of after 2 years.

MONTHLY, QUARTERLY, SEMI-ANNUAL: Dispose of after 5 years.

ANNUAL: Retain permanently.

150-1-3-1-8-22 SOCIAL SECURITY NUMBER INDEX

Index by social security number of admissions to the facility.

Retain permanently.

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150-1-3-1-8-23 UTILIZATION REVIEW

Includes all admission and continued stay reviews, Medicaid reviews, Medicare reviews, and private insurance reviews completed on participants during their stay. Also includes Utilization Review Committee reviews, physician reviews, discharge planning reviews, and related correspondence.

Dispose of after 6 years.

150-1-3-1-8-24 VISIT LOG

Record of visitors, on and off campus, and vacations.

Destroy 5 years after last entry.

150-1-3-1-9 LABORATORY RECORDS (OBSOLETE 2000)

150-1-3-1-9-1 DAILY LOG (OBSOLETE 2000)

Daily list of specific lab tests requested, specimens sent, name of person receiving test and location (living unit, bed, etc.), physician ordering test, where test sent, conditions of specimen, etc.

Immediately dispose of obsolete records.

150-1-3-1-9-2 LABORATORY REPORTS, COPY (OBSOLETE 2000)

Printed lab test results.

Immediately dispose of obsolete records.

150-1-3-1-9-3 LABORATORY REQUISITIONS, COPY (OBSOLETE 2000)

Copy of form requesting specific tests on a particular participant. Original is kept at contracting laboratory.

Immediately dispose of obsolete records.

150-1-3-1-9-4 PHYSICIAN'S ORDER – LAB TESTS (OBSOLETE 2000)

Physician's order for specific lab test.

Immediately dispose of obsolete records.

150-1-3-1-9-5 QUEST POLICY AND PROCEDURE MANUALS (OBSOLETE 2000)

Immediately dispose of obsolete records.

150-1-3-1-10 LIBRARY

150-1-3-1-10-1 HISTORY OF THE FACILITY

Written history of the facility including all significant events of development. May include materials such as books, newspaper clippings, pamphlets, pictures, and videotapes.

Retain permanently.

150-1-3-1-10-2 LIBRARY INDEX FILE

Records of items in the library. May include author, title, publisher, date received, and source.

ORIGINAL RECORD: Dispose of after item removed from collection.

ELECTRONIC DATA: Backup daily; dispose of data after item removed from collection.

SECURITY BACKUP TAPES: Dispose of after superseded.

150-1-3-1-11 MEDICAL STAFF

150-1-3-1-11-1 BYLAWS

Includes the bylaws and rules and regulations for the medical staff.

Retain permanently.

150-1-3-1-11-2 MEMBERSHIP CREDENTIALING AND PRIVILEGING FILES

Includes application for membership and review of physician's, physician's assistant's, and dentist's practice for purposes of determining whether to privilege or re-privilege. This is not part of the personnel file.

Retain permanently.

150-1-3-1-12 NURSING

150-1-3-1-12-1 CAPILLARY GLUCOSE QUALITY CONTROL RECORD

Compares capillary glucose results with serum glucose results for each Accu-check machine on campus.

Transfer to Living Unit Nursing file six months after sheet is completed (item #150-1-3-1-12-5)

150-1-3-1-12-2 CONTROLLED MEDICATIONS LOG

After hours controlled medications log documenting by shift nursing staff that checks out medication for monitoring controlled substance.

Dispose of after 5 years, provided audit has been completed.¹

150-1-3-1-12-3 CRASH CART CHECKLIST

List of contents in crash cart.

Dispose of after 1 year.

150-1-3-1-12-4 DAILY NARCOTIC COUNT SIGNATURE SHEET

Dates, shift, and employee signatures for narcotics counted between shifts and filled out on living units.

Dispose of after 5 years, provided audit has been completed.¹

150-1-3-1-12-5 INTER-SHIFT COMMUNICATION SHEET (FORMERLY LIVING UNIT DAILY REPORT SHEETS)

Report by shift. May include admissions, discharges, seriously ill participants, unforeseen incidents.

Dispose of after 1 month.

150-1-3-1-12-6 HOSPITAL NURSING ASSIGNMENT SHEET

Names of all levels of nursing staff for each shift, where assigned, to what assigned, breaks/meals assigned, meetings, in-service and any special assignments.

Dispose of after 1 month, or after no longer of administrative value, whichever is later.

150-1-3-1-12-7 NURSING POLICY & PROCEDURE BOOKS (OBSOLETE 2000)

Procedures used in providing nursing care in the facility, standards of nursing, goals and objectives for the nursing department.

Transfer to the State Archives for possible accession.

150-1-3-1-12-8 NURSING STAFF SCHEDULES

Names and schedules of all nursing staff.

Dispose of after 3 years.

150-1-3-1-12-9 NURSING SUPPLY REQUESTS, WEEKLY (OBSOLETE 2000)

Medical supply requisition forms.

Immediately dispose of obsolete records.

150-1-3-1-13 PET RECORDS

150-1-3-1-13-1 IMMUNIZATION RECORDS

Immunization records of pets living at or visiting the facility.

Dispose of when updated record is received or when pet no longer visits or resides at the facility.

150-1-3-1-13-2 LICENSE PAPERS

License papers of pets living at or visiting the facility.

Dispose of when license has expired or when pet no longer visits or resides at the facility.

150-1-3-1-13-3 PET MEDICAL RECORDS

May include documentation of veterinarian's diagnoses and/or treatment, annual heartworm and fecal test results, and certification papers from a group such as Delta Society-Pet Partners Program, Therapy Dogs Internals, Therapy Dogs Inc., Alpha Affiliates Inc., Puff, or AKC.

Dispose of certification papers when expired and remainder of record when pet no longer visits or resides at the facility.

150-1-3-1-13-4 PET VISITATION LOG BOOK

Book kept at Switchboard used to log in pets as they come to visit.

Dispose of after 1 year.

150-1-3-1-14 PHARMACY

150-1-3-1-14-1 CONTROLLED SUBSTANCE RECEIPTS AND DISPOSITIONS

Includes invoices, record of disposition, Drug Enforcement Administration order sheet, sign-out sheets, prescription file, patient profile, medication destruction record, and computerized dispensing record.

Dispose of after 5 years, provided audit has been completed.¹

150-1-3-1-14-2 DRUG THERAPY RECOMMENDATIONS

Recommendations made to the physician by the pharmacist concerning drug therapy questions.

Dispose of after 7 years.

150-1-3-1-14-3 PATIENT PROFILE

Record of medications dispensed by participant's name.

ORIGINAL RECORD: Dispose of after 7 years.

ELECTRONIC DATA: Backup daily; dispose of after 7 years.

SECURITY BACKUP COPY: Dispose of after superseded.

150-1-3-1-14-4 PHARMACY REQUISITION

Computer input form showing drugs and medicine requisitioned by a living unit.

Dispose of after 3 years, provided Medicaid/Medicare audit has been completed.¹

150-1-3-1-14-5 PRESCRIPTIONS

Hard copy prescription for doctor orders. Filed according to class of narcotic or non-scheduled drug.

Dispose of after 7 years, provided audit has been completed.¹

150-1-3-1-15 PHYSICAL THERAPY - OCCUPATIONAL THERAPY

150-1-3-1-15-1 CURRENT PARTICIPANT FILE (FORMERLY ACTIVE PATIENT)

PT/OT files of current BSDC individuals.

Transfer Hab Plans and original documents to Central Records at time of death or discharge, dispose of remainder at time of death or discharge.

150-1-3-1-15-2 DAILY OR MONTHLY COUNT SHEETS

Listing of attendance, modalities provided, trainer providing the treatment, and informal comments in physical therapy and occupational therapy.

Dispose of after 3 years provided Medicare/Medicaid audit has been completed.

150-1-3-1-15-3 PURCHASE BOOK (OBSOLETE 2000)

Listing of items purchased for the department, cost, and the outlet purchased from.

Immediately dispose of obsolete records.

150-1-3-1-16 PSYCHOLOGY

150-1-3-1-16-1 BEHAVIOR MANAGEMENT PROGRAMS

Program records developed to address specific behavior(s) a participant demonstrates.

Transfer to Central Record Files (item # 150-1-3-1-8-17), after program is graduated or terminated. Destroy 10 years after death or discharge.

150-1-3-1-16-2 TESTING MATERIALS (RAW DATA)

Includes various testing materials to evaluate participants. Examples may include WISC, WAIS, MMPI, Kinder Preference Test, California Achievement Test, Edwards Personal Preference Test, Vineland Adaptive Behavior Scale, AAMD Adaptive Behavior Scale and Normative Adaptive Behavior Scale.

Dispose of 10 years after death or discharge.

150-1-3-1-17 QUALITY ASSURANCE

150-1-3-1-17-1 ACTIVE TREATMENT AUDITS

Management system which documents compliance with provisions of action treatment as required by Title XIX.

ORIGINAL AUDIT SHEET: Dispose 1 year after end of the fiscal year to which the record pertains; provided audit has been completed.¹

QUARTERLY/ANNUAL REPORTS: Dispose of 1 year after the end of the fiscal year; provided audit has been completed.¹

ELECTRONIC DATA: Backup daily, dispose of after superseded.

SECURITY BACKUP COPY: Dispose of after superseded.

150-1-3-1-17-2 CUSTOMER SATISFACTION SURVEY DATA

Reports from consumers and responses by facilities regarding service conditions.

Dispose of original surveys after data has been entered.

ELECTRONIC DATA: Dispose of after 6 years.

SECURITY BACKUP COPY: Dispose of after superseded.

150-1-3-1-17-3 ENVIRONMENTAL AUDITS

Management system to evaluate/ensure the adequate provision of a safe and sanitary environment.

ORIGINAL RECORD: Dispose of after data is entered.

ELECTRONIC DATA: Dispose of after 2 years.

SECURITY BACKUP COPY: Dispose of after superseded.

**150-1-3-1-17-4 HEALTH DEPARTMENT INSPECTION RECORD
(OBSOLETE 2000)**

Contains copies of completed staffing and patient information forms deficiency lists and corrections taken.

Immediately dispose of obsolete records.

**150-1-3-1-17-5 INTERMEDIATE CARE FACILITY MENTAL
RETARDATION ANNUAL ON-SITE PREVIEW REPORT**

Summary of facility's compliance with the HHSS Utilization Review requirements.

Dispose of after 5 years.

**150-1-3-1-17-6 INTERNAL QUALITY ASSURANCE DATA AND/OR
REPORTS**

Scheduled periodic compilations, tables, graphs that comprise regular internal reports.

ORIGINAL RECORD: Dispose of 1 month after verification of data.

ELECTRONIC DATA: Backup daily, dispose of after 5 years.

SECURITY BACKUP COPY: Dispose of after superseded.

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150-1-3-1-17-7 LATE ANNUAL EVALUATION REPORTS (OBSOLETE JANUARY 2005)

Reports which track submission of annual evaluations according to assigned due dates.
Dispose of after 3 years.

150-1-3-1-17-8 LATE IMPLEMENTATION OF OBJECTIVES (OBSOLETE MAY 2002)

Tracks late implementation of objectives, person responsible and actions taken.
Immediately dispose of obsolete records.

150-1-3-1-17-9 QUALITY IMPROVEMENT DATA COLLECTION FORMS (OBSOLETE 2000)

Q.I. data collection instruments or data entry documents.
Immediately dispose of obsolete data.

150-1-3-1-17-10 QUALITY IMPROVEMENT MEASURES (OBSOLETE 2000)

Criterion based performance indicators used to monitor the quality and effectiveness of services and care provided.
Immediately dispose of obsolete records.

150-1-3-1-17-11 QUARTERLY AND/OR ANNUAL FACILITY QUALITY IMPROVEMENT PLANS, MEASURES, AND REPORTS

Criterion based performance indicators used to monitor the quality and effectiveness of services and care provided. Plans, reports and attachments.
PAPER COPY: Dispose of after 5 years.
ELECTRONIC DATA: Backup daily; dispose of after 5 years.
SECURITY BACKUP COPY: Dispose of after superseded.

150-1-3-1-18 RADIOLOGY RECORDS

150-1-3-1-18-1 EXPOSURE REPORTS, RADIATION

Monthly written report listing each radiology technician's name and amount of exposure.
Dispose of after 99 years.

150-1-3-1-18-2 X-RAY FILMS (EXCEPT DENTAL)

Radiographic picture of a particular anatomical part of the body.
DECEASED/DISCHARGED PARTICIPANTS (EXCEPT MINORS): Dispose of 10 years after discharge or verification of death.
MINOR PARTICIPANTS: Dispose of 10 years after discharge, or after verification of death, or after participant has reached 24 years of age, whichever is later.
EMPLOYEE X-RAYS: Dispose of 10 years after termination of employment.

150-1-3-1-18-3 X-RAY LOG/LEDGER (OBSOLETE 2000)

A daily list of people radiographed may include how many exposures taken, what type of film was taken, film number, person's name and location by building, ward, bed.
Immediately dispose of obsolete records.

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150-1-3-1-18-4 X-RAY REPORTS, COPY

Copies of written interpretation of radiologist's findings on x-ray. May also include the x-ray requisition.

Dispose of after 2 years.

150-1-3-1-19 RISK MANAGEMENT

150-1-3-1-19-1 DISASTER DRILLS

Records of disaster drills held in the facility. May include scenario of the drill, evaluation, and summary.

Dispose of after 5 years.

150-1-3-1-19-2 DISASTER PLAN

Written plans and procedures to be implemented in the event of disaster.

Dispose of 10 years after superseded.

150-1-3-1-19-3 FIRE DRILL REPORTS

Record of fire drills held in the facility. May include where drill was held, who was in charge of the building, weather conditions, any injuries, and any malfunctions of the system.

Dispose of after 5 years.

150-1-3-1-19-4 FIRE MARSHAL INSPECTION RECORD

Contains standards, requirements, deficiency lists, and plans for correction.

Dispose of after 5 years.

150-1-3-1-19-5 HAZARD OR RECALL NOTIFICATION LOG

Log indicating products and equipment recalled for total replacement or part(s) replacement. Log indicates if facility does/does not have item, who was notified, and the outcome.

Dispose of after 3 years.

150-1-3-1-19-6 IN-HOUSE BUILDING AND SAFETY INSPECTIONS

Record of building safety. May include electrical inspection records, condition of stairways, clutter such as boxes blocking doorways, and work orders to correct discrepancies.

Dispose of after 5 years.

150-1-3-1-19-7 INCIDENT/ACCIDENT FILES, EMPLOYEE (OBSOLETE 2000)

Records of employee accidents/incidents that did not result in injury but may have damaged material goods, i.e., torn shirt, broken glasses.

Dispose of 10 years after termination of employment.

150-1-3-1-19-8 INCIDENT/ACCIDENT REPORTS, PARTICIPANT

Report of any accident/incident involving a participant.

Dispose of 10 years after discharge or death.

150-1-3-1-19-9 INCIDENT SUMMARIES, MONTHLY (OBSOLETE 2000)

Summaries of incidents reported for the month.

Immediately dispose of obsolete records.

150-1-3-1-19-10 SAFETY/SECURITY HAZARD REPORTS

Reports submitted by facility employees who find safety/security problems. May include recommendations.

Dispose of after 2 years.

150-1-3-1-20 SCHOOLS - VOCATIONAL

150-1-3-1-20-1 APPLICATION FOR APPROVAL

This document furnishes the rationale and example of effort toward maintaining a state approved educational program.

Dispose of after 10 years.

150-1-3-1-20-2 CHAPTER I GRANT (OBSOLETE 2001)

Federal Education Grant awarded to programs serving disadvantaged students.

Dispose of 7 years after end of grant period, provided audit has been completed.¹

150-1-3-1-20-3 EDUCATION/TRAINING RECORDS

Students' progress reports on goals and objectives of their individualized program.

Records include Individual Program Plan (IPP), Individualized Education Program (IEP), discipline reports, habilitation plans, data sheets, and progress reports.

TRAINING RECORDS: Dispose of 10 years after discharge of participant.

EDUCATION RECORDS: Microfilm and destroy originals 1 year after discharge of participant.

SECURITY MICROFILM: Transfer to the State Archives; retain permanently.

MICROFILM WORK COPY: Retain permanently.

150-1-3-1-20-4 EDUCATIONAL SUMMARIES AND REPORTS

Brief summary of information received from outside sources concerning testing results and recommendations.

Dispose of after summarized by Psychologists and Social Services Workers.

150-1-3-1-20-5 GRANT FILES

All accounting records, correspondence, applications, grant award documents, final financial reports, performance records, or any other record which involve grant funds.

Examples include: Chapter I Educational Grant, Perkins Grant, and Library Grant.

Dispose of 6 years after end of grant period, provided audit has been completed.¹

150-1-3-1-20-6 NEBRASKA SCHOOL LUNCH AND MILK AGREEMENTS

Commodity Program, School Lunch, and milk agreements with the Food Distribution Program.

Dispose of after 5 years.

150-1-3-1-20-7 REQUEST FOR TRANSCRIPTS/INDIVIDUAL EDUCATION PLAN (IEP)

Copies of requests for student's transcript from previously attended schools/educational programs.

Dispose of upon receipt of transcript.

150-1-3-1-20-8 TRANSCRIPTS/IEP

Obtained from previously attended school.

Dispose of after 1 year, or after discharge of participant, which ever is sooner.

Nebraska Health and Human Services – Human Services System – Beatrice State Developmental Center

150-1-3-1-20-9 SCHOOL BILLINGS

Billings to public schools for providing educational services to those students whose established residence is within that school district but who receive educational services from the facility.

Dispose of after 3 years, provided audit has been completed.¹

150-1-3-1-20-10 SHELTERED WORKSHOP/WORKER CERTIFICATES

Certificates from the U.S. Department of Labor authorizing the facility to pay sub-minimum wages to participants who work as part of their habilitation program.

Dispose of 5 years after expiration of the certificate.

150-1-3-1-20-11 SPECIAL EDUCATION SERVICE AGENCY APPLICATION, STATEMENT OF ASSURANCE

Report sent to the Nebraska Department of Education that assures that all of the program guidelines are being met.

Dispose of after 10 years.

150-1-3-1-20-12 SPECIAL EDUCATION SERVICE AGENCY PERSONNEL REPORT

This document lists the personnel both Certified and supportive, who provide educational services to students under age 21.

Dispose of after 5 years.

150-1-3-1-20-13 SPECIAL EDUCATION SERVICE AGENCY REIMBURSABLE PAYMENT RECEIVED FROM SCHOOL DISTRICT

This document lists the public schools and programs that have contracted with the facility for specified student services.

Dispose of after 5 years, provided audit has been completed.¹

150-1-3-1-20-14 SPECIAL EDUCATION SERVICE AGENCY REIMBURSABLE PAYMENTS RECEIVED FROM SCHOOL DISTRICT PER STUDENT PROGRAM RATE

This document shows the amounts school districts pay for tuition or contracted educational services.

Dispose of after 5 years, provided audit has been completed.¹

150-1-3-1-20-15 SPECIAL EDUCATION SERVICE AGENCY REPORT OF PROGRAM EXPENDITURES BASED ON ACTUAL EXPENDITURES OF THE PREVIOUS YEAR

This document indicates the amounts spent on specified areas to maintain the educational program.

Dispose of after 5 years, provided audit has been completed.¹

150-1-3-1-20-16 SPECIAL EDUCATION SERVICE AGENCY REPORT OF PROGRAM EXPENDITURES BASED ON ACTUAL EXPENDITURES OF THE PREVIOUS YEAR PER STUDENT RATE

This document shows actual expenditure of the previous year's educational program.
Dispose of after 5 years, provided audit has been completed. ¹

150-1-3-1-20-17 SPEECH AND LANGUAGE REPORTS

Testing results and reports used to determine the student's need for supplemental speech and language therapy.

Dispose of after the student's graduation or after the student's 3 year continuous absence from school, whichever is sooner.

150-1-3-1-20-18 STUDENT ROSTER

A list of all school-age students attending the facility's educational program.

Dispose of after 10 years.

150-1-3-1-20-19 SUMMARY STUDENT ATTENDANCE RECORDS

Summary for each student may include student name, teacher signature and attendance record of named student for one entire educational term.

Dispose of 10 years after the end of the educational term.

150-1-3-1-20-20 TEACHER CERTIFICATES

The Nebraska certificate which assures that the holder is qualified to teach in an educational program within the areas specified on the certificate.

Dispose of after superseded, or after teacher is no longer employed by the facility, whichever is sooner.

150-1-3-1-20-21 VERIFICATION AND REVERIFICATION REPORTS FOR SPECIAL EDUCATION SERVICES

Reports verifying the need for special education services. The need for special education services must be re-verified periodically after the initial verification determination.

Dispose after student graduates or after the student's 3 year continuous absence from school, whichever is sooner.

150-1-3-1-21 SECURITY

150-1-3-1-21-1 SECURITY GUARD REPORTS

Written reports may include ground conditions, security inspections, incidents, unsecured doors, safety hazards.

Dispose of after 1 year.

150-1-3-1-22 TRANSPORTATION

150-1-3-1-22-1 AUTOMOBILE ACCIDENT REPORTS

Vehicle accident reports showing how accident happened, drivers' names, addresses and damage to vehicle.

NO LEGAL ACTION: Dispose of after 4 years.

LEGAL ACTION: Dispose of 3 years after case is closed.

150-1-3-1-22-2 ELECTRONIC TRIP REQUESTS

Initiated to tell date, time, purpose of trip. Staff and participants involved and amount of money needed. Reserve vehicles and requests appropriate approval from necessary staff.

ELECTRONIC DATA: Backup daily; dispose of after date of trip.

SECURITY BACKUP COPY: Dispose of after date of trip.

150-1-3-1-22-3 MECHANIC'S SCHOOL BUS INSPECTION REPORT

Annual inspections of operation and safety of school buses.

Dispose of 1 year after superseded.

150-1-3-1-22-4 MOTOR VEHICLE OPERATION LOG

Record of gas used, miles driven daily and monthly, and trips per vehicle.

Dispose of after 3 years, provided audit has been completed.¹

150-1-3-1-22-5 VEHICLE MAINTENANCE RECORDS

Records of work performed on vehicles.

Dispose of when vehicle is surplus, or no longer in service.

150-1-3-1-23 VOLUNTEER SERVICES

150-1-3-1-23-1 BACKGROUND CHECK

Results of background checks done on volunteers who wish to have direct supervised or unsupervised contact with participants (i.e. APS, CPS, NE State Patrol, and law enforcement).

Dispose of 10 years after volunteer is no longer in the program.

150-1-3-1-23-2 DRIVER'S LICENSE/PROOF OF AUTO INSURANCE

Photocopy of driver's license and proof of auto insurance of volunteers who wish to drive as part of their volunteer duties.

Dispose of when driver's license has expired.

150-1-3-1-23-3 SPECIAL FRIEND AND/OR ADOPT-A-CLIENT APPLICATION

Application to become a special friend to a BSDC individual.

Dispose of 10 years after volunteer is no longer in the program.

150-1-3-1-23-4 TERMINATION DOCUMENT

Interview at the conclusion of a person's involvement as a volunteer.

Dispose of 10 years after volunteer is no longer in the program.

150-1-3-1-23-5 VOLUNTEER APPLICATION

Application filled out by persons outside the BSDC community who wish to become a volunteer at BSDC.

APPROVED APPLICATIONS: Dispose of 10 years after volunteer terminates employment.

REJECTED APPLICATIONS: Dispose of after 10 years.

150-1-3-1-23-6 VOLUNTEER TIME SHEETS

Time sheets for each volunteer (as appropriate).

Dispose of after 2 years.

150-1-3-1-24 WORKER’S COMPENSATION

**150-1-3-1-24-1 FIRST REPORT OF ALLEGED OCCUPATIONAL INJURY
OR ILLNESS**

Form filled out by Outpatient Clinic when employee reports incident/injury.

Dispose of after 30 years.

NOTE

1. These records may be disposed of after the required retention period provided the audit of the Comprehensive Annual Financial Report (CAFR) is complete and any required federal audit is complete, and all related audit comments have been resolved. Check with the organization that performed the audit, either the Auditor of Public Accounts or the federal cognizant agency, if there is a question whether resolution is complete.