

Schedule 150-1-3-4

DEPARTMENT HEALTH & HUMAN SERVICES

REGIONAL CENTERS

JUNE 24, 2019

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

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

SCHEDULE	150-1-3-4
AGENCY, BOARD OR COMMISSION	DEPARTMENT OF HEALTH & HUMAN SERVICES
DIVISION, BUREAU OR OTHER UNIT	REGIONAL CENTERS
Supersedes Edition of August 22, 2006	

**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

TITLE

Dannette L Smith
CEO

DATE

5/16/19

PART II – APPROVAL OF STATE ARCHIVES:

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

DATE

Gayle Koertgen

6/11/2019

PART III – APPROVAL OF AUDITOR OF PUBLIC ACCOUNTS:

The attached schedule has been reviewed, all audit material has been properly identified, and this schedule is approved as submitted.

SIGNATURE

DATE

Deann Hauffman

6/13/19

PART IV – APPROVAL OF 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

DATE

Robert B. Berman

6/24/2019

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
Lincoln, NE 68504
402-471-2559**

**SCHEDULE 150-1-3-4
HEALTH AND HUMAN SERVICES
REGIONAL CENTERS**

June 24, 2019

Retention requirements are for all records, regardless of the media on which they reside, unless otherwise noted.

Supersedes Edition of August 22, 2006

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
150-1-3-4-1-1	CARD FILE, INDEX	Is used as a locating aid for other records.	Concurrently with records for which the card file exists	
150-1-3-4-1-2	GRANTS	All accounting records, correspondence, applications, grant award documents, final financial reports, performance records, or any other record which involve grant funds.	7 years after end of grant period, provided audit has been completed	
150-1-3-4-1-3	PHOTOGRAPHY/VIDEO - WRITTEN CONSENT, EMPLOYEE	Written consent by employee for employee publicity and media coverage, may include photographs, video and audio tapes, etc.	10 years after termination of employment	
150-1-3-4-1-4	PHOTOGRAPH/VIDEO - WRITTEN CONSENT, PATIENT	Written consent by patient for patient publicity and media coverage, may include photographs, video and audio tapes, etc.	File in Patient Master Medical File, 10 years after death or discharge of patient	
150-1-3-4-1-5	PUBLICATION PHOTOGRAPHS, EMPLOYEE	Photographs and negatives of employees taken for possible use in publications, or when employee is chosen employee of the month/quarter/year.	1 year	
150-1-3-4-1-6	PUBLICATION PHOTOGRAPHS, PATIENT	Publication photographs and negatives of patients taken for possible use in newsletters, brochures, or other publications.	After photograph is published or decision is made not to publish photograph	
150-1-3-4-1-7	SPEECHES/LEGISLATIVE TESTIMONY	Speeches or legislative testimony prepared and presented by department staff.	2 years after superseded or obsolete	
150-1-3-4-1-8	VISITOR'S LOG	Record of visitors to see patients.	1 year	
150-1-3-4-1-9	DISASTER PLAN	Written plans and procedures to be implemented in the event of disaster.	10 years after superseded	
150-1-3-4-2-1	ACCOUNTING MASTER FILE DETAIL LISTING	Monthly computer report shows the projected budget for each quarter by service area (laundry, X-Ray, food service, etc.).	5 years	
150-1-3-4-2-2	ACCOUNTING MASTER FILES TRANSACTION	Computer input form used in setting up the master file. Includes budget by quarter, program and service area.	ORIGINAL RECORD: 2 years ELECTRONIC DATA: Backup daily and/or monthly, retain permanently	
150-1-3-4-2-3	BATCH PROOF LISTING	Monthly computer report is an edit listing on current batches to be updated to the master file.	ORIGINAL RECORD: 1 year ELECTRONIC DATA: Backup daily and/or monthly; retain permanently	
150-1-3-4-2-4	CANTEEN/AMUSEMENT FUND REPORT	Quarterly financial report of canteen operation and trust fund activities (6800).	ORIGINAL RECORD: 5 years ELECTRONIC DATA: Backup daily and/or monthly; retain permanently	
150-1-3-4-2-5	CASH FLOW STATEMENT	Record of expenditures and balance available.	5 years	
150-1-3-4-2-6	DOCUMENT TRANSMITTAL	Batch summary listing of payment documents submitted by the facility to HHSS.	ELECTRONIC DATA: Backup daily and/or monthly; retain permanently	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
150-1-3-4-2-7	HHSS EXTRACT FROM NAS CONTROL TOTALS	Monthly computer report shows all expenditures by division (except payroll) which are extracted from Department of Administrative Service's tapes.	1 year	
150-1-3-4-2-8	JJSS EXTRACT FROM PAYROLL CONTROL TOTALS	Monthly computer report lists the dollar amount of payroll expenditures by division extracted from Department of Administrative Services payroll tapes.	1 year	
150-1-3-4-2-9	EMERGENCY CASH FUND RECONCILIATION	Monthly reconciliation of Emergency Fund warrants and Bank Account.	5 years	
150-1-3-4-2-10	ERROR CORRECTION FORM	Computer input form used to enter information into the computer which was inadvertently edited out of the change register.	5 years	
150-1-3-4-2-11	EXPENSE TRANSACTION REPORT	Monthly computer report provides a detailed list of expenditures by vendor for each service area.	ORIGINAL RECORD: 5 years ELECTRONIC DATA: Backup daily and/or monthly; retain permanently.	
150-1-3-4-2-12	GROUP BENEFIT REPORTING	Monthly computer report lists a summary per diem rate for the type of care involved (adult psychological care, mental retardation program, etc.).	ORIGINAL RECORD: 5 years ELECTRONIC DATA: Backup daily and/or monthly; retain permanently	
150-1-3-4-2-13	INSTITUTION CASH RECONCILIATION	Monthly report reconciling cash receipts with NAS records.	ORIGINAL RECORD: 5 years ELECTRONIC DATA: Backup daily and/or monthly; retain permanently	
150-1-3-4-2-14	JOURNAL ENTRIES	Computer input form used to change incorrect information in the computer system.	5 years	
150-1-3-4-2-15	LEDGER AND WORKSHEETS	Worksheets used to balance different accounts.	5 years	
150-1-3-4-2-16	MATERIAL AND SUPPLIES REQUISITION	Computer input form which shows the amount of supplies allocated to a ward from the general inventory.	5 years	
150-1-3-4-2-17	MATERIAL AND SUPPLY SUMMARY	Monthly storeroom material and supply inventory form and request for inventory adjustment for overages and shortages.	5 years	
150-1-3-4-2-18	PATIENT CANTEEN PURCHASE AUTHORIZATION	Written authorization, including ledger, for food purchased at canteen by patient.	5 years	
150-1-3-4-2-19	PROGRAM UNITS REPORT	Form used to input the number of days each patient spent in a ward into the computer system.	1 year	
150-1-3-4-2-20	PROJECT REPORTING	Monthly computer report lists month-to-date and year-to-date expenditures for costs that cannot be included in patient per diem rate.	ORIGINAL RECORD: 5 years ELECTRONIC DATA: Backup daily and/or monthly; retain permanently MONTHLY REPORTS: 5 years	
150-1-3-4-2-21	REPORT OF INSTITUTIONS PAYROLL	Bi-monthly computer report provides a detailed breakdown of the payroll voucher by subprogram and individual and is used as a budgeting and accounting tool.	5 years	
150-1-3-4-2-22	REQUEST FOR SUPPLIES	Internal facility form used to requisition supplies from facility supply center.	1 year	
150-1-3-4-2-23	RESPONSIBILITY REPORTING	Monthly computer report lists actual monthly and year to date expenditures and variances from planned expenditures that are included in the Youth per diem rate.	5 years	
150-1-3-4-2-24	RESPONSIBILITY REPORTING - STATISTICAL	Monthly computer report lists cost per service unit for each service area (cost per meal, cost per pound of laundry cleaned, etc.).	2 years, provided audits by the State, BC/BS, Medicare, and Medicaid, have been completed	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
150-1-3-4-2-25	SAVINGS INSTITUTION RECORDS	File for maintaining facility copy of agreement/contract for accounts in savings institutions.	5 years after the termination of contract/agreement	
150-1-3-4-2-26	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.	5 years	
150-1-3-4-2-27	SUMMARY OF POSITIONS: BUDGETED AND USED	Report of YTD totals, by position, of regular hours, overtime hours, total hours, and dollars paid. Report is broken down by section, program, and sub-program.	MONTHLY REPORT: 5 years YEAR-END REPORT: 5 years	
150-1-3-4-2-28	TIMESHEETS AND INPUT RECORDS FOR PATIENT PAYROLL SYSTEMS	All information used in recording patient's work time and pay determinations.	5 years	
150-1-3-4-3-1	AGING OF GUARANTOR RECEIVABLES	Monthly computer report lists individuals by facility, balances due, how long the balance has been due and also gives the date of the last payment made.	5 years	
150-1-3-4-3-2	ANCILLARY SERVICES PROVIDED	Monthly listing of patients who are receiving ancillary services. Report gives a description of the service, number of unit and a dollar amount.	5 years	
150-1-3-4-3-3	ANCILLARY UNITS PROVIDED	Monthly summary of number of ancillary units provided by the facility.	5 years	
150-1-3-4-3-4	BALANCE SHEET	Used to balance maintenance and trust accounts daily.	5 years after death or discharge of patient	
150-1-3-4-3-5	BILLING CONTROL POSTING SUMMARY	Monthly summary of charges, adjustments and receipts by facility for state, county, patient and guarantor.	ORIGINAL RECORD: 5 years	
150-1-3-4-3-6	CENSUS REPORT	Monthly computer report lists total inpatient days by patient for each ward.	5 years	
150-1-3-4-3-7	CENTRAL OFFICE PATIENTS HAVING REPORTED CHARGES	Monthly listing of patients whose accounts are being handled by the Central office for collection but are currently incurring charges at a facility for outpatient or inpatient care.	5 years	
150-1-3-4-3-8	COUNTY BILLING	Monthly statement to each county for amount owed to each facility for patients having legal residence in their county or for whom they are legally responsible because of the type of admission.	5 years	
150-1-3-4-3-9	COUNTY BILLING POSTING SUMMARY	Monthly summary of beginning balances, charges, adjustments, payments and ending balances for the counties by facility.	5 years	
150-1-3-4-3-10	FINAL BILLING CONTROL	Monthly report containing information on each patient such as: date and type of admission, county of financial responsibility, billing type, address, determination amount, balance forward, current charges, payments, adjustments and month end balances.	5 years	
150-1-3-4-3-11	FINANCIAL RESPONSIBILITY QUESTIONNAIRE	Confidential form used to determine the patient's ability to pay based upon his/her assets and liabilities.	5 years	
150-1-3-4-3-12	INDIVIDUAL MEMBER'S FINANCIAL FILE	Stores all relevant financial data, requests for pensions, financial updates, and maintenance changes.	10 years	
150-1-3-4-3-13	IPB COMPUTER INPUT FORMS	IPB (in-Patient Billing) Computer input forms are used to transfer information from source documents into the computer system. Also is used to change or delete information. Input forms include "Status Form", "Reversal/Correction Form", and "Patient Master Form".	5 years	
150-1-3-4-3-14	JOURNAL VOUCHER	Used to record adjustments to maintenance and trust accounts.	5 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
150-1-3-4-3-15	MAINTENANCE RECEIPTS	Receipts issued for payment received from private, Medicare, Medicaid, Insurance, or county providers.	5 years	
150-1-3-4-3-16	MEMBERS TRUST FUND REPORT	Monthly reconciliation of member trust fund bank account, investments, and outstanding checks.	5 years	
150-1-3-4-3-17	NEGATIVE BILLING CONTROL BALANCES	Monthly listing of patients who presently have a negative balance on their account for state, county, patient and/or guarantors because of an overpayment.	5 years	
150-1-3-4-3-18	PATIENT CENSUS ERRORS	Monthly listing of census data rejected from the patient billing system because of duplicate entry or invalid ID number.	5 years	
150-1-3-4-3-19	PATIENT DAYS SUMMARY	Monthly computer report lists different types of care provided by the number of patient days in each ward.	5 years	
150-1-3-4-3-20	PRELIMINARY BILLING CORRECTION CHANGE REGISTER	Listing of changes made to a patient's billing or status between the preliminary billing and final billing being run.	5 years	
150-1-3-4-3-21	RESIDENTS' TRUST FUND CHECKS	Canceled checks from members trust fund bank account.	5 years	
150-1-3-4-3-22	SUMMARY OF ADJUSTMENTS	Monthly listing of all adjustments made to the state, county, and part private billings.	5 years	
150-1-3-4-3-23	SUMMARY OF RECEIPTS	Monthly summary of all types and amounts of receipts.	5 years	
150-1-3-4-3-24	SUMMARY OF THIRD PARTY BENEFITS	Monthly summary of charges billed to third party payers, i.e., Medicare A, Medicare B, and private insurance.	5 years	
150-1-3-4-3-25	TAX RETURN	Individual's copy of the federal or state tax return. Is used in determining financial responsibility.	destroy after 5 years	
150-1-3-4-3-26	TRUST FUND RECORDS	Computerized information regarding trust funds for individual youths. Reports include Monthly Activity Trust Fund Report, Quarterly Interest Report, and Annual Activity Report.	PAPER MONTHLY REPORT: After receipt of Quarterly Interest Report PAPER QUARTERLY REPORT: After receipt of Annual Activity Report PAPER ANNUAL REPORT: 5 years	
150-1-3-4-4-1	ADMISSION CONTACT FORMS/PRE-ADMISSION NOTES	Information regarding potential admissions to a facility.	PATIENT ADMITTED: File in Patient Master Medical File. PATIENT NOT ADMITTED: 2 years	
150-1-3-4-4-2	ADMISSION LEDGER/NUMBER INDEX	Confidential ledger is used for assigning case numbers to residents. May include patient name, county of residence, case number, date admitted, date discharged, and death/discharge code.	PERMANENT	
150-1-3-4-4-3	OUTPATIENT APPOINTMENT BOOK	Listing of patients and scheduled consultations.	2 years, or when updated or superseded, whichever is later	
150-1-3-4-4-4	CEMETERY LOGS	Listing of all persons buried in a HHSS cemetery or plots owned by a HHSS facility.	PERMANENT	
150-1-3-4-4-5	DEATH/DISCHARGE REGISTER	Listing of all who died in or were discharged from the facility. This may be combined or separate registers.	Subject to the State Archives review; retain permanently	
150-1-3-4-4-6	GUARDIANSHIP/ CONSERVATORSHIP FILE	Documents relating to guardianship proceedings, including copy of orders for guardianship and letters of guardianship. Also includes financial and personal contact information.	Transfer to Patient Master Medical File after patient's discharge or death	
150-1-3-4-4-7	MASTER PATIENT INDEX	Patient index of all patients admitted to the facility with basic demographic information about the patient and information regarding their length of stay and admission and discharge dates.	PERMANENT	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
150-1-3-4-4-8	PATIENT MASTER MEDICAL FILE	The Patient Master Medical File is a written report of the patient's complaints, the diagnostic findings, treatment and end results that, in total, form a clinical picture and when completed, contains sufficient information to clearly identify the patient, to justify the diagnosed and treatment and to record results.	PATIENT MASTER MEDICAL RECORD: Adults: 10 years after discharge or verification of death, whichever is later Minors: 10 years after age of majority. If a minor is still a patient upon reaching the age of majority, follow adult retention □	
150-1-3-4-4-9	PATIENT RELATED STATISTICS	All daily, monthly, quarterly, semi-annual and annual statistics and reports used to monitor patient movement, budgeting, staffing, etc.	DAILY: 2 years. MONTHLY/QUARTERLY/SEMI-ANNUAL: 5 years. ANNUAL: Retain permanently.	
150-1-3-4-4-10	NON-PATIENT CORRESPONDENCE	Requests for information on clients that were never admitted or treated at our facilities.	2 years	
150-1-3-4-4-11	PHOTOGRAPHS, PATIENT IDENTIFICATION	Photographs used for identification in treatment.	After death or discharge of patient	
150-1-3-4-4-13	ACCOUNTING OF DISCLOSURES	Record of information released about facility patients.	6 years	
150-1-3-4-4-14	RESTRAINT AND SECLUSION LOGS	Information on all restraint and seclusion procedures utilized during a given day.	2 years	
150-1-3-4-4-15	SOCIAL SECURITY NUMBER INDEX	Index by social security number of all patients admitted to the facility.	PERMANENT	
150-1-3-4-4-16	UTILIZATION REVIEW	Includes all admission and continued stay reviews, Medicaid reviews, Medicare reviews, and private insurance reviews completed on patients during their stay. Also includes Utilization Review Committee reviews, physician reviews, discharge planning reviews, and related correspondence.	5 years	
150-1-3-4-4-17	WAITING LIST	Waiting list for admission.	superseded	
150-1-3-4-4-18	DELINQUENT OR INCOMPLETE RECORDS	Each facility generates a listing of delinquent records each week.	1 year	
150-1-3-4-5-1	ACTIVE TREATMENT AUDITS	Management system which documents compliance with provisions of action treatment as required by Title XIX.	AUDIT SHEETS: 2 years QUARTERLY/ANNUAL PRINTOUTS: 5 years ELECTRONIC DATA: Backup daily and/or monthly; retain permanently	
150-1-3-4-5-2	CONSUMER ADVOCACY TEAM (CAT) RECORDS	Reports from consumers and responses by facilities regarding service conditions.	5 years	
150-1-3-4-5-3	ENVIRONMENTAL AUDITS	Management system to evaluate/ensure the adequate provision of a safe and sanitary environment.	5 years	
150-1-3-4-5-4	HHSS INSPECTION RECORD	Contains copies of completed staffing and patient information forms, deficiency lists and corrections taken.	3 years	
150-1-3-4-5-5	INTERNAL PI REPORTS	Scheduled periodic compilations, tables, graphs that comprise regular internal reports to a PI committee, facility administrators and HHSS.	3 years or when superseded or obsolete	
150-1-3-4-5-6	LATE ANNUAL EVALUATION REPORTS	Reports which track submission of annual evaluations according to assigned due dates.	3 years	
150-1-3-4-5-7	LATE IMPLEMENTATION OF OBJECTIVES	Tracks late implementation of objectives, person responsible and actions taken.	ORIGINAL RECORD: 3 years ELECTRONIC DATA: Backup daily and/or monthly; retain permanently	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
150-1-3-4-5-8	NEED LEVEL REPORT, PATIENT	Selected demographics listed by living unit and utilized by management to evaluate staffing and other resource allocations.	ORIGINAL RECORD: 5 years ELECTRONIC DATA: Backup daily and/or monthly; retain permanently	
150-1-3-4-5-9	PI DATA COLLECTION FORMS	PI data collection instruments or data entry documents.	ORIGINAL RECORD: After entered or aggregated information is verified ELECTRONIC DATA: Backup daily and/or monthly; retain permanently	
150-1-3-4-5-10	PERFORMANCE IMPROVEMENT ASPECTS OF CARE	Criterion based performance indicators used to monitor the quality and effectiveness of services and care provided to patients.	ORIGINAL RECORD: 5 years ELECTRONIC DATA: Backup daily and/or monthly; retain permanently	
150-1-3-4-5-11	QUARTERLY AND/OR ANNUAL FACILITY PI PLANS AND REPORTS	Plans, reports and attachments.	ORIGINAL RECORD: 4 years ELECTRONIC DATA: Backup daily and/or monthly; retain permanently	
150-1-3-4-6-1	BIOFEEDBACK PROGRESS GRAPH	Paper on which patient's progress is recorded.	5 years	
150-1-3-4-6-2	BIOFEEDBACK PROGRESS NOTES	Paper on which patient's progress is recorded.	ORIGINAL RECORD: Transfer to Patient Master Medical File OTHER COPY: 2 years	
150-1-3-4-6-3	BIOFEEDBACK REQUISITION, COPY	Copy of physician's written order for biofeedback for particular patient.	2 years	
150-1-3-4-7-1	DENTAL APPOINTMENT BOOK	Daily schedule of patients' dental appointments.	1 year	
150-1-3-4-7-2	DENTAL RECORD	Includes patient's name, location, date of service, type of service, health history, etc.	ORIGINAL RECORD: Transfer to Patient Master Medical File	
150-1-3-4-7-3	ENVIRONMENTAL CONTROL TEST REPORTS	Weekly report of culture of sterilizer.	4 years	
150-1-3-4-7-4	EXPOSURE REPORTS, RADIATION	Monthly report listing names of employees taking x-rays and their amounts of exposure.	99 years	
150-1-3-4-7-5	X-RAY FILMS, DENTAL	Radiographic picture of particular anatomical part of the patient's mouth.	After verification of death of patient or after 99 years	
150-1-3-4-8-1	EEG REPORT	Copy of written report of physician's interpretation of EEG. May include the requisition for the EEG.	ORIGINAL RECORD: Transfer to Patient Master medical File and destroy 10 years after verification of death OTHER COPIES: 10 years	
150-1-3-4-8-2	EEG TRACING	Paper on which EEG tracing is recorded.	10 years	
150-1-3-4-9-1	EKG REPORT	Copy of written report of physician's interpretation of EKG. May include the requisition for the EKG.	ORIGINAL RECORD: Transfer to Patient Master Medical File OTHER COPY: 2 years	
150-1-3-4-9-2	EKG TRACING	Paper on which EKG tracing is recorded.	Transfer to the Patient Master Medical File 10 years after verification of death	
150-1-3-4-10-1	DAILY LOG	Daily list of specific lab tests requested, specimens sent, name of person receiving test and location, (ward, bed, etc.), physician ordering test, where test sent, conditions of specimen, etc.	1 year	
150-1-3-4-10-2	LABORATORY REPORTS, COPY	Printed lab test results.	2 years	
150-1-3-4-10-3	LABORATORY REQUISITIONS, COPY	Copy of form requesting specific tests on a particular patient. Original is kept at contracting laboratory.	2 months	
150-1-3-4-10-4	POLICY AND PROCEDURE MANUALS		7 years, subject to review by the State Archivist for possible accession	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
150-1-3-4-11-1	NURSING SUPPLY REQUESTS, WEEKLY	Medical supply requisition forms.	3 months	
150-1-3-4-12-1	CONTROLLED SUBSTANCE RECEIPTS AND DISPOSITIONS	Includes invoices, record of disposition, DEA order sheet, sign out sheets, prescription file, patient profile, medication destruction record, computerized dispensing record.	7 years	
150-1-3-4-12-2	DRUG THERAPY RECOMMENDATIONS	Recommendations made to the physician by the pharmacist concerning drug therapy questions.	7 years	
150-1-3-4-12-3	PATIENT PROFILE	Record of medications dispensed by patient's name.	7 years	
150-1-3-4-12-4	PRESCRIPTIONS	Hard copy prescription for doctor orders. Filed according to class of narcotic or non scheduled drug.	7 years	
150-1-3-4-13-1	CARD FILE	One card per person with name, file number.	ALL DISCHARGED PATIENT (EXCEPT MINORS): 10 years after discharge DECEASED PATIENTS (EXCEPT MINORS): 10 years after verification of death MINOR PATIENTS: 10 years after discharge or after patient has reached 24 years of age, whichever is later	
150-1-3-4-13-2	EXPOSURE REPORTS, RADIATION	Monthly written report listing each radiology technician's name and amount of exposure.	99 years	
150-1-3-4-13-3	POLICY AND PROCEDURE MANUALS	Manuals setting out operational policies and procedures for facility, divisions, or other functional areas.	5 years after policy/procedure is superseded; subject to review by the State Archivist for possible accession	
150-1-3-4-13-4	X-RAY FILMS (EXCEPT DENTAL)	Radiographic picture of a particular anatomical part of the body.	ALL DISCHARGED PATIENT (EXCEPT MINORS): 10 years after discharge DECEASED PATIENTS (EXCEPT MINORS): 10 years after verification of death MINOR PATIENTS: 10 years after discharge or after patient has reached 24 years of age, whichever is later EMPLOYEE X-RAYS: 10 years after termination of employment	
150-1-3-4-13-5	X-RAY LOG/LEDGER	A daily list of people radio-graphed, how many exposures taken, what type of film was taken, film number, person's name and location by building, ward, bed, etc.	1 year	
150-1-3-4-13-6	X-RAY REPORTS, COPY	Copies of written interpretation of radiologist's findings on x-ray. May also include the x-ray requisition.	10 years	
150-1-3-4-14-1	COMMODITY FOOD RECORDS	Ordering forms and receiving reports for Commodity Foods.	5 years	
150-1-3-4-14-2	FOOD COSTS REPORT	Breakdown of food costs.	5 years	
150-1-3-4-14-3	FOOD PRODUCTION REPORT	Summary of census, meals, snacks, and beverages produced for patients, employees, satellite facilities, etc.	5 years	
150-1-3-4-14-4	MENUS SERVED	Record of actual menu served.	90 days, or until State survey is complete	
150-1-3-4-14-5	TEMPERATURE CHARTS	Record of temperatures of freezers, dish machines, refrigerators, thaw rooms, coolers, etc.	1 year, or until State survey is complete	
150-1-3-4-15-1	APPLICATION FOR APPROVAL	This document furnishes the rationale and example of effort toward maintaining a state approved educational program.	10 years	
150-1-3-4-15-2	AVERAGE DAILY ATTENDANCE REPORTS	Summary of student's school attendance record.	5 years	
150-1-3-4-15-3	CHAPTER I GRANT	Federal Education Grant awarded to programs serving disadvantaged students.	7 years after end of grant period	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
150-1-3-4-15-4	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.	5 years	
150-1-3-4-15-5	CLIENT EDUCATION/TRAINING RECORDS	Students' progress reports on goals and objectives of their individualized program. Records include Individualized Program Plan (IPP), Individualized Education Program (IEP), discipline reports, habilitation plans, data sheets, and progress reports.	TRAINING RECORDS: 10 years after discharge of patient EDUCATION RECORDS: 10 year after discharge of patient Electronic Data: Permanent	
150-1-3-4-15-6	CONSENT FOR TESTING FORMS/PARENTAL CONSENT FORMS	Consent form signed by the parent or guardian granting school personnel permission to do testing necessary for appropriate educational placement.	After patient reaches age of majority	
150-1-3-4-15-7	EDUCATIONAL SUMMARIES AND REPORTS	Brief summary of information received from outside sources concerning testing results and recommendations.	After patient reaches age of majority	
150-1-3-4-15-8	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.	7 years after end of grant period	
150-1-3-4-15-9	INDIVIDUAL EDUCATIONAL PLANS (IEP'S)	Individualized plan done on each student listing the goals and objectives set for that student for the school year.	1 year after the student's discharge	
150-1-3-4-15-10	MULTIDISCIPLINARY TEAM REPORTS (MDT'S)	This report verifies the patient's handicap and indicates psychological, educational staffing, and speech evaluation (if done) has been done on the individual to determine that the patient does have a handicap.	Retain until patient reaches 21 years of age	
150-1-3-4-15-11	NEBRASKA SCHOOL LUNCH AND MILK AGREEMENTS	Commodity Program, School Lunch, and milk agreements with the Department of Social Services.	5 years	
150-1-3-4-15-12	RECEIVING REPORTS AND ISSUE NUMBER INVOICES	Document filed by Education Department for items received pertaining to the school lunch program.	5 years	
150-1-3-4-15-13	REQUESTS FOR TRANSCRIPTS	Copies of requests for student's transcript from previously attended schools/educational programs.	Upon receipt of transcript, or after patient is discharged, whichever is later	
150-1-3-4-15-14	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.	5 years	
150-1-3-4-15-15	SCHOOL PSYCHOLOGICAL REPORTS	Psychological testing from outside sources.	Retain permanently	
150-1-3-4-15-16	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.	ORIGINAL RECORD: 10 years. ELECTRONIC DATA: Backup daily and/or monthly; retain permanently.	
150-1-3-4-15-17	SPECIAL EDUCATION SERVICE AGENCY PERSONNEL REPORT	This document lists the personnel (both certified and supportive) who provided educational services to students under age 21.	5 years	
150-1-3-4-15-18	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.	5 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
150-1-3-4-15-19	SPECIAL EDUCATION SERVICE AGENCY REIMBURSABLE PAYMENTS RECEIVED FROM SCHOOL DISTRICT PER STUDENT PROGRAM RATE	This document shows the amount of school districts pay for tuition or contracted educational services.	3 years	
150-1-3-4-15-20	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.	5 years	
150-1-3-4-15-21	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.	ORIGINAL RECORD: 5 years ELECTRONIC DATA: Backup daily or monthly; retain permanently.	
150-1-3-4-15-22	SPEECH AND LANGUAGE REPORTS	Testing results and reports used to determine the student's need for supplemental speech and language therapy.	After the student's discharge	
150-1-3-4-15-23	STUDENT IMMUNIZATION RECORDS	Record of date and type of inoculations and health examinations for each student.	Retain until patient reaches 21 years of age	
150-1-3-4-15-24	STUDENT TRANSCRIPTS	Record of classes taken with grades and credits received. Attendance is included with the transcripts.	PERMANENT	
150-1-3-4-15-25	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.	After teacher is no longer employed by the facility or after superseded	
150-1-3-4-15-26	VERIFICATION AND REVERIFICATION REPORTS FOR SPECIAL EDUCATION SERVICES	Reports verifying the patient's need for special education services. The need for special education services must be re-verified periodically after the initial verification determination.	3 years after date of report	
150-1-3-4-16-1	BIOLOGICAL EXAMINATION OF DRINKING WATER	Records of monthly and annual domestic water tests.	CHLOROFORM TEST RESULTS: 5 years HEAVY METAL TEST RESULTS: 10 years	
150-1-3-4-16-2	BOILER INSPECTION REPAIR MAINTENANCE LIST	Records of work done on boiler.	5 years	
150-1-3-4-16-3	BOILER ROOM INSPECTION SHEET	Records inspection of equipment in the boiler room.	5 years	
150-1-3-4-16-4	CARPETS FIRE CERTIFICATION	Class A fire rated certificate required by the State Fire Marshal.	After carpet is removed	
150-1-3-4-16-5	CHILLER OPERATIONS LOG	Records of inspection of chiller water and equipment and treatment of water.	5 years	
150-1-3-4-16-6	CHILLER WATER INSPECTION SHEET	May indicate records of inspection of chiller water and equipment, and water tower.	3 years	
150-1-3-4-16-7	DEPARTMENT OF ENVIRONMENTAL CONTROL RECORDS	May include emission control reports, emission testing, treatment plant reports, weed control reports, chlorine reports, Freon reports, asbestos reports, etc.	ASBESTOS RECORDS: Retain permanently ALL OTHER RECORDS: 5 years	
150-1-3-4-16-8	DOMESTIC WATER FLOW CHARTS, LOGS, REPORTS	May include records of domestic water being pumped from wells, dates and times of operation and gallons pumped, and efficiency of each well.	3 years	
150-1-3-4-16-9	ELECTRICAL INSPECTION APPLICATION	Wiring permit and follow up inspection.	5 years after project is approved by electrical inspector(s)	
150-1-3-4-16-10	ELEVATOR NEBRASKA TEST REPORT	Test of elevator systems and stability.	4 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
150-1-3-4-16-11	ELEVATOR PROJECT	Plans, blueprints, inspection reports, and service dates involved with elevator project.	Retain for life of facility	
150-1-3-4-16-12	EMERGENCY GENERATOR OPERATION LOG	Records times and dates of operation.	3 years	
150-1-3-4-16-13	ENGINE ROOM INSPECTION	Records inspection of equipment in the engine room and on the facility grounds.	3 years	
150-1-3-4-16-14	ENGINEERS WORK LOGS	Records of times and dates engineers were on duty and may include work performed.	1 year	
150-1-3-4-16-15	MAINTENANCE MONTHLY REPORT	Report of cost of materials/hours for each building in the facility by trade.	5 years	
150-1-3-4-16-16	MAINTENANCE WORK ORDERS	Form used to request maintenance work, including inspection, construction and repair. May include a description of the work to be done, the material description, and total cost to complete the work order.	1 year	
150-1-3-4-16-17	PREVENTATIVE MAINTENANCE INPUT FORMS	Specifications of equipment and timetables for schedule maintenance used to enter into computer.	After equipment is surplused or destroyed	
150-1-3-4-16-18	PREVENTATIVE MAINTENANCE PRINTOUT	Computer printout of every preventative maintenance work order that was completed during a given time period. Report includes total hours and total material cost by building and section.	10 years, or no longer of reference value, whichever is later	
150-1-3-4-16-19	PREVENTATIVE MAINTENANCE WORK ORDERS	Preventative maintenance work request forms specifying time, place, and equipment to be serviced.	1 year	
150-1-3-4-16-20	SCHEDULED ASSIGNMENTS & FLOOR AREAS MANUAL	May include record of when floor is refurbished & carpet is cleaned, and products used.	1 year or when superseded or obsolete	
150-1-3-4-16-21	SCHEDULES FOR EQUIPMENT MAINTENANCE	On-going maintenance schedule for equipment not covered by 309 preventative.	After equipment is surplused or destroyed	
150-1-3-4-16-22	STEAM PLANT OPERATION RECORDS	Daily log recording how much steam are produced, number of pounds of water used BTU's, etc. A report is sent to HHSS Engineering.	5 years	
150-1-3-4-16-23	UTILITIES LEDGER	Record of utilities used daily or monthly. Utilities may include sewage, water, steam, electricity, etc.	3 years	
150-1-3-4-16-24	UTILITIES METER READINGS FOR OUTSIDE FACILITY BUILDINGS	May include records of meter readings for billing to other facilities.	5 years	
150-1-3-4-16-25	WATER TREATMENT CONSULTING REPORT	Records boiler water test and recommended treatment from outside consulting service.	5 years	
150-1-3-4-17-1	AFFIRMATIVE ACTION QUARTERLY REPORT	Statistical data of equal opportunity/affirmative action material.	ORIGINAL RECORD: 4 years after the end of the year covered by the report ELECTRONIC DATA: Backup daily and/or monthly; retain permanently	
150-1-3-4-17-2	EMPLOYEE OF THE MONTH/QUARTER/YEAR FILE	File of nominations and awards of employee of the month/quarter/year.	2 years	
150-1-3-4-17-3	EMPLOYMENT APPLICATIONS AND OTHER SUPPLEMENTAL MATERIAL	May include application, structured interview questions, supplemental questionnaires, screening or scoring devices, and any other material used in the hiring process, and other supplemental material.	HIRED EMPLOYEE APPLICATIONS: Transfer to Employment History File ALL OTHER APPLICATIONS AND MATERIAL: 4 years after position is filled	
150-1-3-4-17-4	INTERNAL COMPLAINTS	A written document outlining an employee lodged complaint on non-grievable issues requiring facility investigation and action.	2 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
150-1-3-4-17-5	JOB DESCRIPTION FORM	Personnel job description form used to compare job positions for reclassification.	Superseded	
150-1-3-4-17-6	MEDICAL REPORTS, EMPLOYEE	Record of any medical information on employees.	10 years after termination of employment	
150-1-3-4-17-7	NEIS QUARTERLY AGENCY TURNOVER REPORT (OBSOLETE WITH IMPLEMENTATION OF NIS)	Report required by State Personnel and provides agency employee turnover information, i.e., number of voluntary and involuntary terminations by facility and total number of employees, exempt and non-exempt by facility.	ORIGINAL RECORD: 2 years ELECTRONIC DATA: Backup daily and/or monthly; retain permanently	
150-1-3-4-17-8	CONTRIBUTING MEMBERS	Form prepared in conjunction with the completion of the Nebraska State Employees Retirement System enrollment card, to report employees who are enrolling in the retirement plan during the same month.	3 years	
150-1-3-4-17-9	PERFORMANCE EVALUATIONS	Performance evaluations done on employees.	Retain in the Personnel file unless directed otherwise by Labor Contract or HHS Rules and Regulations	
150-1-3-4-17-10	PERSONNEL DIARY NOTES	Contains pertinent information involving grievances, investigations, disputed issues, disciplinary action, abuse and neglect and other personnel related investigative and result notes.	4 years after investigation is closed	
150-1-3-4-17-11	POSITION VACANCY/INTERVIEW FILES	Record containing a brief description of position being filled, date interviewed, recruitment effort if applicable, interview of questions and answers, and applicant application.	4 years after position if filled	
150-1-3-4-17-12	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.	5 years or when superseded, whichever is later	
150-1-3-4-18-1	VEHICLE MAINTENANCE RECORDS	Records of work performed on facility-owned vehicles.	Vehicle is surplus or no longer in service	
150-1-3-4-19-1	DISASTER DRILLS	Records of disaster drills held in the facility. May include scenario of the drill, evaluation, and summary.	5 years	
150-1-3-4-19-2	EMPLOYEE INJURY IN HOUSE SUMMARY	Monthly summary of injuries of staff so that the cost of employee injuries can be attributed to the department where the employee works.	10 years	
150-1-3-4-19-3	EMPLOYEE INJURY REPORT COPY	Report from OPC of what or how accident or injury occurred and recommended treatment.	10 years	
150-1-3-4-19-4	FIRE ALARM AND SPRINKLER TEST INSPECTIONS	Verification that the systems have been inspected to confirm working order.	5 years	
150-1-3-4-19-5	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, and injuries, and any malfunctions of the system.	5 years	
150-1-3-4-19-6	FIRE EXTINGUISHER LOCATION AND SERVICING DATES	Location of fire extinguisher and dates extinguisher is serviced.	After fire extinguisher no longer exists	
150-1-3-4-19-7	FIRE MARSHAL INSPECTION RECORD	Contains standards, requirements, deficiency lists, and plans for correction.	5 years	
150-1-3-4-19-8	HAZARD OR RECALL NOTIFICATION LOG	Log indicating products and equipment recalled for total replacement or part(s) replacement. Log indicates if facility does or does not have the item, who was notified, and outcome.	3 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
150-1-3-4-19-9	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.	5 years	
150-1-3-4-19-10	INCIDENT/ACCIDENT FILES, EMPLOYEES	Records of employee accidents/incidents that did not result in injury but may have damaged material goods, i.e., torn shirt, broken glasses.	10 years after termination of employment	
150-1-3-4-19-11	INCIDENT/ACCIDENT REPORTS, PATIENT	Information on any accident/incident that a patient is involved in while admitted in a HHSS facility.	ADULT PATIENT'S: 6 years after Patient's discharge or death MINOR PATIENT'S: 6 years after Patient reaches age of majority, discharge or death, whichever is sooner	
150-1-3-4-19-12	INCIDENT SUMMARIES, MONTHLY	Summaries of incidents reported for the month.	ORIGINAL RECORD: 3 years ELECTRONIC DATA: Backup daily and/or monthly; retain permanently	
150-1-3-4-19-13	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.	30 years after chemical is no longer used at the facility	
150-1-3-4-19-14	SAFETY/SECURITY HAZARD REPORTS	Report submitted by facility employees who find safety/security problems. May include recommendations.	2 years	
150-1-3-4-19-15	SECURITY GUARD REPORTS	Written reports of ground conditions, security inspections, incidents unsecured doors, safety hazards, etc.	1 year	
150-1-3-4-20-1	ALL - FACILITY NEW HIRES ORIENTATION	A copy of each new hire's dated and signed competency checklist and orientation packet (if given) and Mini-orientation sheet with staff's signature on policy review (Norfolk). The checklist includes method of instruction, i.e., videotape presentation, reading, policy/discussion, demonstration, and scores if tests are done.	10 years after termination of employment	
150-1-3-4-20-2	CARE STAFF MEMBER OR PSYCHIATRIC TECHNICIAN II TRAINING - INITIAL AND UPDATES	A copy of the dated and signed competency checklist, grades, and completion date and renewal date.	10 years after completion of course	
150-1-3-4-20-3	CONTINUING EDUCATION CREDITS FOR PROFESSIONS	An accounting for each professional who must be licensed/certified of their CEU's by date, topic, presenter, credits given, objectives, methods, evaluation used, attendance list, and summary of evaluation results.	10 years after offering	
150-1-3-4-20-4	INSERVICE/CONTINUING EDUCATION, MANDATORY	A copy of the date, number of hours, title of programs, instructor, method of instruction, summary, and proof of competence level (if judged). Examples include Affirmative Action, Safety, Infection Control, Hazardous Materials, and Management Training.	10 years after termination of employment	
150-1-3-4-20-5	INSERVICE/CONTINUING EDUCATION, NON-MANDATORY	A copy of the date, number of hours, title of programs, instructor, method of instruction, summary, and proof of competence level (if judged). Includes Nursing Issues, Mental Health Specialist, and individual departments' in-services.	10 years after termination of employment	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
150-1-3-4-20-6	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 and curriculums were used.	10 years after curriculum termination or change	
150-1-3-4-20-7	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.	10 years after termination of employment	
150-1-3-4-20-8	NURSING STUDENT CLINICAL CONFIDENTIALITY STATEMENTS	Nursing student signatures for receiving and understanding the maintenance of patient confidentiality during their clinical experience.	2 years after termination of clinical experience	
150-1-3-4-21-1	EMERGENCY CONTROLLED SUBSTANCES ADMINISTRATIVE SHEET	Documenting controlled substances returned from home visits or obtained outside of the facility pharmacy.	7 years	
150-1-3-4-21-2	DAILY NARCOTIC COUNT SIGNATURE SHEET	Dates, shift, and employee signatures for narcotics counted between shifts and filled out on living units.	3 years	
150-1-3-4-21-3	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.	1 year	
150-1-3-4-21-4	NURSING POLICY & PROCEDURE BOOKS	Current procedures used in providing nursing care in the facility, standards of nursing, goals and objectives for the nursing department.	PERMANENT	
150-1-3-4-21-5	NURSING STAFF SCHEDULES	Names and schedules of all nursing staff.	3 years	
150-1-3-4-22-1	ACTIVE PATIENT FILES	Lists work/projects accomplished.	1 year	
150-1-3-4-22-2	MONTHLY ATTENDANCE SHEET	Used to keep track of patients attendance in activities.	1 year	
150-1-3-4-22-3	PATIENT ACTIVITY INCOME AND EXPENDITURE RECORD	Lists sales and expenditure records for patient craft items.	5 years	
150-1-3-4-22-4	PATIENT ACTIVITY SHEET/ACTIVITY CALENDAR	Monthly calendar listing the members activity participated in and the building, or what area.	1 year	
150-1-3-4-22-5	PATIENT EVALUATION	Evaluation with a patient indicating his/her likes and dislikes and personal history. Used for planning activities in the department.	1 year	
150-1-3-4-22-6	PATIENT PRODUCTIVITY RECORDS	Evidence of the productivity of each disabled worker and prevailing wages, production standards and other supporting documentation for non-disabled workers.	3 years	
150-1-3-4-22-7	PATIENT PROFILE AND INTEREST SHEET	Initial evaluation to gather basic information and learn patient interests.	After death or discharge of patient	
150-1-3-4-22-8	PROGRESS BOOK	Information on each member regarding goals and progress within the department.	1 year	
150-1-3-4-22-9	PURCHASE BOOK	Listing of items purchased for the department, cost, and the outlet purchased from.	5 years	
150-1-3-4-22-10	SHELTERED WORKSHOP/PATIENT WORKER CERTIFICATES	Certificates from the U.S. Department of Labor authorizing the facility to pay sub-minimum wages to patients who work as part of their habilitation program.	5 years after expiration of the certificate	
150-1-3-4-23-1	HHS SYSTEM DONATION REPORT	Used to keep track of donated items and cash.	5 years	
150-1-3-4-23-2	VOLUNTEER REPORT	Used to keep track of hours and number of volunteers.	5 years after volunteer is no longer in the program	
150-1-3-4-24-1	BEHAVIORAL/ABUSE/NEGLECT REPORTING FORM	Report of alleged abuse/neglect as defined in policy.	ADULT PATIENT'S: 6 years. MINOR PATIENT'S: 6 years after patient reached her/his majority	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
150-1-3-4-24-2	BI-ANNUM GOALS AND OBJECTIVES	Plans set with time frames for implementation.	2 years	
150-1-3-4-24-3	CONTRACT FILES	Includes agreements and leases. File may include original of final contract, bidding procedure information if applicable, notes and correspondence.	6 years after termination date of contract OR 5 years after last date of action under contract, provided audit has been completed, subject to review by the State Archivist for possible accession	
150-1-3-4-24-4	EXTERNAL SURVEY OF FACILITIES AND APPLICATION FOR LICENSE	May include, HHSS, VA, DSS, HCFA, and JCAHO survey results and correspondence.	25 years	
150-1-3-4-24-5	STATISTICAL REPORT	Required report to HHSS Regulation and Licensure showing discharges, discharge days, census days, and beds set up and staffed.	2 years	
150-1-3-4-24-6	LICENSE, STATE OF NEBRASKA AND FEDERAL	Correspondence and applications for licenses: Hospital, Health Clinic, Domiciliary, Nursing, and Pharmacy.	Retain permanently	
150-1-3-4-24-7	MOTOR VEHICLE RECORDS	May include Motor Vehicle commitment and release records.	At time of discharge	
150-1-3-4-24-8	PATIENT GRIEVANCES	Complaints filed by patient against the facility or individual working or living within facility.	6 years	
150-1-3-4-24-9	POLICY AND PROCEDURE MANUALS	Manuals setting out operational policies and procedures for facility, divisions, or other functional areas.	PERMANENT	
150-1-3-4-24-10	STUDIES AND REPORTS	Project information statistics used to evaluate costs, expenditures, usefulness, etc.	After completion of project, subject to review by the State Archivist for possible accession	
150-1-3-4-25-1	BEHAVIOR MANAGEMENT PROGRAMS	Program records developed to address specific behavior(s) a patient demonstrates.	Immediately	
150-1-3-4-25-2	TESTING MATERIALS (RAW DATA)	Includes various testing materials to evaluate patients. Examples 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.	6 years after evaluated and results are recorded	
150-1-3-4-27-1	MINUTES REQUIRED FOR STANDARDS COMPLIANCE	Meeting minutes of all committees required by regulatory or accrediting agencies.	5 years	
150-1-3-4-27-2	PATIENT ADVISORY/ADVOCACY GROUP MINUTES	Minutes from internal or external groups to advocate on behalf of the patient.	5 years	
150-1-3-4-27-3	STAFF MEETING MINUTES	Minutes of staff meetings or committees not required for standards compliance or accreditation.	1 year	
150-1-3-4-28-1	CHECKLIST OF LIVING UNITS, MONTHLY	Checklist of items needed to be taken care of on a continual basis to assure a clean and sanitary environment.	After completed	
150-1-3-4-29-1	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, video tapes, etc.	Retain permanently	
150-1-3-4-29-2	LIBRARY CARD INDEX FILE	Cards of items in the library. May include author, title, publisher, date received, source, etc.	After item is removed from library	
150-1-3-4-29-3	POLICY AND PROCEDURE MANUALS	Policy and procedure manuals for library.	Superseded	

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150-1-3-4-29-4	PUBLICATIONS		PUBLICATIONS PAID FOR BY SUBSCRIPTION: 2 years after cover date. PROFESSIONAL JOURNALS: Check with local libraries before recycling to determine if library is interested in maintaining journals for future public reference or if they can be used to fill in missing volumes NON-SUBSCRIPTION PUBLICATIONS: Dispose of when no longer of reference value	
150-1-3-4-30-1	BYLAWS	Includes the bylaws and rules and regulations of the medical staff.	PERMANENT	
150-1-3-4-31-1	EXPENDITURE PLAN FOR CAPITAL EQUIPMENT	Bi-annual reports of approved capital equipment items.	5 years	
150-1-3-4-31-2	PROJECT REVIEW REQUESTS	Records of projects requested by HHS facilities. May include justifications, cost estimates, and time for completion, project schedule, etc.	After project is completed or no longer pursued by the facility	
150-1-3-4-32-1	DAILY OR MONTHLY COUNT SHEETS	Listing of client attendance, modalities provided, trainer providing the treatment, and informal comments in physical therapy.	1 year	
150-1-3-4-32-2	PHYSICAL THERAPY LPN TREATMENT RECORD	Record of living unit physical therapy programs and PT/LPN progress notes.	5 years	
150-1-3-4-32-3	PHYSICAL THERAPY ORTHOPEDIC EQUIPMENT RECORD	Record of provision of orthopedic/orthotic equipment to specific clients.	10 years after patient's discharge or death	
150-1-3-4-33-1	ARBORETUM PLANT DISTRIBUTIONS	Records of Nebraska Statewide Arboretum plant distributions.	1 year	
150-1-3-4-33-2	COMPUTERIZED MAPPING SYSTEM	Includes inventory, locations, and dead and diseased trees.	Retain permanently	
150-1-3-4-33-3	CONSULTING RECORDS	Includes recommendations on plant problems and record keeping on plant topics for seminar presentations.	10 years	
150-1-3-4-33-4	EDUCATIONAL AIDS RECORDED	Includes pictures, teaching guides, etc.	10 years	
150-1-3-4-33-5	EQUIPMENT AND PARTS SERVICING MANUALS	Manuals used in maintaining and servicing ground equipment.	After equipment is surplused or no longer in service	
150-1-3-4-33-6	EQUIPMENT RECORDS	Records on oil and filter changes and routine scheduling of preventative maintenance on equipment, including parts and operating procedures of tractors, lawn mowers, small equipment, etc.	After equipment is surplused or no longer in service	
150-1-3-4-33-7	EQUIPMENT REQUESTS	Equipment requests made by grounds on a fiscal year basis.	After equipment is no longer requested	
150-1-3-4-33-8	GROUNDS MAINTENANCE PLAN	Time scheduling for spring, summer, and fall, including fertilizer application, herbicide and fungicide application, tree planting, and flower and plant propagation.	5 years	
150-1-3-4-33-9	GROUNDS MANAGEMENT PLAN	Includes records of labor resources, acreage and square footage, and heavy and small equipment resources.	5 years or when superseded, whichever is later	
150-1-3-4-33-10	LANDSCAPE MASTER PLAN	Includes landscape master plan of plant material locations, including arboretum plant material locations. Updated annually.	Retain permanently	
150-1-3-4-33-11	MEMORANDUM OF UNDERSTANDING FOR ARBORETUM	Memorandum of understanding between facility and Nebraska Statewide Arboretum.	Retain permanently	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
150-1-3-4-33-12	NON-FACILITY WORK REQUESTS	Includes informal requests by outside agencies located on facility grounds. May include request time, date of product application, consulting services rendered, etc.	2 years	
150-1-3-4-33-13	NOXIOUS WEEDS AND POISONOUS PLANTS	Plant identification records for noxious weeds and poisonous plants.	Retain permanently	
150-1-3-4-33-14	PLANT VARIETIES AND DONATIONS FOR ARBORETUM	Includes plant labeling and purchases of plant material.	Retain permanently	
150-1-3-4-33-15	TREE REMOVAL GUIDELINES	Policies, guidelines, and approval for tree removal as established by the State of Nebraska for tree removal.	5 years after superseded or obsolete	
150-1-3-4-34-1	ACCOUNT CODE 4800 EXPENDITURES NOT ON INVENTORY	Listing of all purchased items, which are not yet put on Statewide Inventory List.	Retain until so notes on Statewide inventory list	
150-1-3-4-34-2	EQUIPMENT INVENTORY DETAIL REPORTING FORM	Completed forms used to designate new equipment which contain, but are not limited to the date of purchase, cost, manufacturer's serial number, model number, purchase order, vendor, description, etc.	Superseded or obsolete	
150-1-3-4-34-3	STATEWIDE INVENTORY SYSTEM HISTORY REQUEST	Printouts of all changes made in equipment use.	5 years	
150-1-3-4-34-4	SURPLUS PROPERTY NOTIFICATION (SALES AND JUNK LIST)	Forms originating from State Surplus authorizing inventory to either be sold at auction or junked.	Superseded or obsolete	