Disclosure and Retention of Public Records

	Louisiana	Department of Health (LDH)
	Policy Number	42.2
	Content	LDH Policy on Disclosure and Retention of
DEPARTMENT OF HEALTH		Public Records
-	Effective Date	October 10, 2014
	Inquiries to	Office of the Secretary
		Bureau of Legal Services
		P.O. Box 3836
		Baton Rouge, Louisiana 70821-3836
		(225) 342-1112 FAX (225) 342-2232

LDH is committed to fostering, cultivating and preserving a culture of equity, diversity and inclusion. Our human capital is the most valuable asset we have. The collective sum of the individual differences, life experiences, knowledge, inventiveness, innovation, self-expression, unique capabilities and talent that our employees invest in their work represents a significant part of not only our culture, but our Department's reputation and achievement as well.

If there is a discrepancy between an LDH Policy and a Program Office or facility policy, the LDH policy shall govern/overrule/supersede the conflicting section within the Program Office or facility policy.

I. POLICY STATEMENT

- A. In accordance with the Louisiana Public Records Act ("PRA") (R.S. 44:1 *et seq.*, it shall be the policy of the Louisiana Department of Health (LDH) that all records are subject to disclosure under the PRA, with the exception of certain records specified in this policy, as provided by the statutory exceptions to the PRA as set forth in R.S. 44:1 or 44:4.1 or in other applicable state or federal law.
- B. As mandated by the PRA, any person of the age of majority shall have the legal right to inspect, copy, reproduce or obtain a reproduction of any public record.
- C. The PRA shall be liberally interpreted so as to extend rather than restrict access to public records by the public.
- D. All public records shall be preserved for at least the period of time specified for

such records in formal records retention schedules developed and approved by the State Archivist and Director of the Division of Archives, Records Management and History, of the Department of State. However, in all instances in which a formal retention schedule has not been executed, a public record shall be preserved and maintained for a period of at least three years from the date on which it was made. In LDH, records shall be retained for at least the periods of time shown on the office or facility's Records Retention Schedule of this policy. Documents related to services in a time of disaster shall be retained for 3 years after the disaster is closed out.

E. Examination of public records shall be conducted during regular office or work hours.

II. PURPOSE

- A. The purpose of this policy is to provide guidelines for the custodians of public records within LDH for the release of information from LDH records and for the retention of such records in conformity with legal requirements. This policy is strictly limited to the disclosure and retention of information contained in records of LDH offices, divisions and/or facilities.
- B. The basic purpose of the PRA is to implement the inherent right of the public to be reasonably informed as to what public records contain and to the manner, basis, and reasons upon which governmental affairs are conducted, while at the same time balancing that right against the necessity for the custodian of the public records to act in the public interest by protecting and preserving public records against unreasonable dangers of loss or damage, or acts detrimental to the integrity of public records.

III. APPLICABILITY

This policy shall apply to all documents, records, and information pertaining to LDH unless specifically exempted by statute as outlined in this policy.

IV. EFFECTIVE DATE

The effective date of this revised policy is October 10, 2014.

V. EXCEPTIONS

The PRA subjects all records of LDH to disclosure unless they are specifically excepted from disclosure by one of the identified exceptions set forth in R.S. 44:4 or 44:4.1 or in other applicable state or federal law.

VI. RESPONSIBILITIES OF THE RECORDS CUSTODIAN

The custodian shall provide copies of public records to persons who request them. It shall be the responsibility of the custodian to abide by the statutory provisions of the PRA. As defined by the PRA, the custodian is the "public official or head of any public body having custody or control of a public record, or a representative specifically authorized by him to respond to requests to inspect any such public records".

In LDH, the custodian of records shall be designated by the appointing authority for each office and facility at which public records are maintained.

- a. Requests for public records preferably should be made in writing, should include the date of the request and the signature of the requester, and should identify the records being requested as specifically as possible. Verbal requests, whether made in person or by telephone, may be accepted as well, but the custodian should strongly encourage the requester to put the request in writing in order to protect the rights of LDH and of the requester.
- b. Immediately upon receipt of a public records request, the custodian or any other member of LDH staff should forward the request to the LDH Bureau of Legal Services, using email or fax if necessary. The Bureau of Legal Services will send a letter to the requester acknowledging receipt of the request by LDH and stating the date upon which it was received by LDH. The letter will also identify any potential confidentiality or legal privilege issues that are likely to be raised with regard to the records being requested.
- c. The custodian must extend reasonable comfort and facility to persons exercising the right of reviewing records; however, nothing contained herein shall prevent the custodian from protecting the records from alteration or defacement while they are being examined. The custodian or a designee must accompany the person reviewing a record at all times while they have the record so as to protect it against removal or alteration of any part of the record.
- d. The custodian should not question the person requesting examination of

a public record as to the purpose of the request. The fact that the person may volunteer the purpose does not constitute detailed inquiry by the custodian or by the court into the person's motive.

- e. The custodian shall inquire from persons applying for a public record their age and identification and request that they sign a register. If the request is not made in writing or does not include the date of the request, the register should indicate the date of the request.
- f. If any file contains information that is not part of the public records, the custodian must separate the nonpublic information before making the record available for examination. If any record responsive to a public records request contains information which is considered confidential under the PRA and/or other applicable law, such confidential information must be thoroughly redacted before the record is disclosed. If there is any doubt as to the confidentiality of any information contained in a responsive record, the LDH Bureau of Legal Services should be consulted to assist with that determination.
- g. A fee may be charged for copies of public records according to the Uniform Fee Schedule adopted by the Commissioner of Administration (LDH Policy No. 74.1). The Fee Schedule at present is 25 cents per page. Copies may be furnished without charge or at a reduced charge to indigent citizens of the state or to persons whose use of such copies is limited to a public purpose, including but not limited to use in a hearing before any governmental regulatory commission.
- h. Should information be requested which the custodian questions as to whether or not it is public, the custodian shall, within three days of receipt of the request for such information, exclusive of Saturdays, Sundays, and legal public holidays, notify the person making such request of his determination and the reasons therefore in writing. Assistance in determining whether a document is a public record may be obtained by contacting the LDH Bureau of Legal Services. A legal opinion may be required in such a determination; therefore, prompt attention to requests is important.
- i. If a record is not immediately available because of its active use at that time, the custodian shall certify this in writing to the person and further fix a day and hour within three days, exclusive of Saturdays, Sundays, and legal public holidays, for the exercise of the right granted by the law.
- j. Any person who has been denied access to a public record may institute proceedings for the issuance of a writ of mandamus, injunctive or

declaratory relief, together with attorney's fees, costs and damages, in the district court for the parish in which the office of the custodian is located. Further details outlining the enforcement and penalties upon violation of the PRA are found in R.S. 44:37, and may be obtained through the Division of Human Resources, Training and Staff Development.

VII. DISCIPLINARY ACTIONS

Violations of this policy may result in disciplinary action up to and including dismissal.

VIII. REFERENCES

LDH- Policy #74 – Uniform Fee Schedule for Copies of Public Records

IX. REVISION HISTORY

Date	Revision
July 1, 1991	Policy created
April 4, 2011	Policy revised
October 10, 2014	Policy revised
January 29, 2020	Policy reviewed
May 29, 2024	Policy reviewed

ATTACHMENT A- Human Resources

Records Retention Schedule

Agency No	os.louisiana.gov Agency / Division / Section					T	1.	-	Indicate Use of Form _X_ORIGINAL SUBMISSION
	Dept. of Health & Hospitals / Office of Managerr Training and Staff Development	ent & Finance	/ Human Re	sources,			s Center		RENEWAL REPLACEMENT PAGE
item Number	Records Series Title	R	etention Pe	riod	~	-	Records		ADDENDUM PAGE
		In Office	In Storage	Total Retention	Security	Archival	State R	Vital	Remarks
1	Employee Personnel File	ACT + 70CY		ACT + 70CY	M	R	N	v	Active = until separation
2	Performance, Planning & Review (PPR)	ACT + 5CY		ACT + 5CY	c	5	N	1,	Active = until separation
3	PPR Request for Review	ACT + 5CY		ACT + 5CY	c	S	N	t,	Active - until separation
4	Confidential Files	ACT + 5CY		ACT + 5CY	C	S	N	l v	Active = until separation
5	Reports & Supporting Documentation	ACT + 5CY		ACT + 5CY	P	5	N	t u	Active = installend of Cy created or
6	Employee Grievances/Complaint/Appeals	ACT + 5CY		ACT + 5CY	c	S	N	1	Active = Until final decision rendered
7	EEO/Affirmative Action/Complaints	ACT + 5CY		ACT + 5CY	c	S	N	1	Active = until end of cy created a
8	EEO/Affirmative Action Reports	2 CY		2 CY	P	S	N	U	
9	I-9 Employment Eligibility Verifcation w/supporting documentation	ACT + 3CY		ACT + 3CY	с	S	N	1	Active = until separation
10	Medical Files (including Workers Comp)	ACT + 30CH		ACT + 300	y c	5	N		Active = until separation
ACT – Active F Y- Fiscal Yea CY – Calendar	ention Period Abbreviations Period (when used define term in remarks column) r (July 1- June 30) Year (Jan 1 – Dec 31)	Security Status P – Public Record M – May Contain C – Confidential I	d Confidential li	nformation	State Re Use Y – Yes N - No	cords	r Center		Agency Abbreviations EEO = Equal Employment Op
FY - Federal	: Year (Aug 1 - July 31) Fiscal Year (Oct 1 - Sept 30) WK - Week DY - Day(s) anent	Archival Process A – Transfer to St R – Retain in Age S – Review by St O – Other (Specif	ate Archives ancy Archives ate Archives		Vital Rec dentifica V= Vital I = Impoi J= Usefu	tion C tant	odə		

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item Number	Records Series Title	4	etention Pe			-	Records		ADDENDUM PAGE
		In Office	In Storage	Total Retention	Security	Archival	State R Center	Vital	Remarks
11	Leave Slips	5cr	1	504	с	S	N	U	
12	Drug Testing (forms/results/invoices)	3CY		3CY	с	5	N	1	
13	Group Benefits Invoices	70CY	1	7DCY	С	5	N		
14	Disclosure of Outside Employment	3CY	*	3CY	M	S	N	ú	
15	Vacancy & promotional announcements. Certificates of Eligibles SF9s. Applications	зсү	•	зсу	M	S	N	u	· · · · · · · · · · · · · · · · · · ·
16	FMLA	ACT + 5CY	- 4	ACT + 5CY	c	S	N	1	Active = until closed
17	CS Job Studies	5CY		5Cy	P	5	N	U	
18	CS Audit Files	5CY		5CY	Р	5	N	υ	
19	Job Descriptions	ACT + 5CY		ACT + 5CY	Р	S	N	υ	Active = until and of the cy aboushed
20	Policies & Procedures	PERM		PERM	Р	R	N	v	0
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Agency No	Agency / Division / Section Dept. Health + Hospitals / Office of	Manageni	ut + Fina	nce	_				_ORIGINAL SUBMISSION RENEWAL
	Human Resources Trains	ng + Stat	f Devel	apment			stds		REPLACEMENT PAGE
Item Number	Records Series Title	R	etention Pe		- E	MA	Records		_ADDENDUM PAGE
		In Office	In Storage	Total Retention	Security	Archival	State Centa	Vital	Remarks
21	Delegated Authority Documents	PERM		PERM	P	R	N	v	
22	Life insurance covered by OGB	ACT + 5CY		ACT + 5CY	c	S	N	,	Active - until separation
23	Life Insurance not covered by OGB	AC7 + 70CY		ACT + 70CY	с	S	N	1	Active = until separation
24	Payroll Records (timesheets)	+ ACT + 5C Y		ACT + 5CY	M	5	N	10	Active unoi the end of cy in which the
25	Supervisors file	ACT + 2CY		ACT + 2CY	M	S	N	10	Active = until supervision ends
26	Position Descriptions (SF-3s)	ACT + 5CY		ACT + 5CY	Р	S	N	1	Active = until employee separates from agency
	Emails (based on content for the same duration as records of similar content) IAW Retention Schedule								
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Agency	Approval	Date Signed	1	Secretary of	State,	State	Arch	ives	& Records Services Date Approved
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Human Resources Record Disclosure Guidelines

The following items found in a personnel record have been deemed confidential and should not be released for examination:

- A. Records Excepted by Statute
 - 1. Medical/health records, claim forms, life insurance applications, requests for payment of benefits and all other health records of an employee and their dependents enrolled in the State Employees Group Benefits Program (R.S. 44.12).
 - 2. All medical records of an employee, all records of payment of compensation to an employee or his dependent, records with respect to the rehabilitation of an injured employee, employer reports of injury, claims by an employer or his dependent and other records which would ascertain the identity of the injured employee or his dependent in a Worker's Compensation action (R.S.23:1293).
 - 3. Personnel evaluation reports/comments used by the supervisor/employer to determine rating (R. S. 44.31). The fact that a rating is satisfactory, unsatisfactory or needs improvement is not considered to be covered under privacy provisions, but the actual written documents containing the rating comments are protected.
 - 4. Home address and telephone number of an employee if they have requested that the information be confidential.
- B. Records Deemed to be Protected by the Louisiana Constitution
 - 1. An employee's W-4's, L-4, or other tax withholding forms
 - 2. Garnishments/wage assignments
 - 3. Loan applications
 - 4. Payroll deductions
 - 5. Designated beneficiaries for life insurance and retirement benefits
 - 6. Applications for employment for persons who are not appointed to positions in the public service
 - 7. Any and all other information of a personal nature which has no bearing on state business
 - 8. Any medical records furnished by or to the Department to establish an applicant's or employee's fitness for employment.

- C. There are conditions under which the records listed in Articles A and B above may be released. These conditions are listed below:
 - 1. The records specified in Articles A and B above may be released to persons other than the affected employee with the written consent of the employee or as required by law or the courts.
 - 2. Information relating to dependents and beneficiaries may be provided to the dependents and beneficiaries of deceased employees. Requests for such information may be required to be in writing.
 - 3. In all cases, an employee shall have unlimited access to any and all information contained in or pertaining to their own personnel record. 42.1

Attachment B- Office of Behavior Health

	Al Ater				2006 -C Division of Archives, Records Management and Histor
	Secretary of State				Fiorent Hardy, Jr., PhD
					State Archivist and Director
					P.O. Box 94125
					Baton Rouge, LA 70804-4125
			Reco	rds Retentio	n Schedule
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	Department: Department of H	ealth and Hosp	oital - HR		
em	Agency: Office for Addictive I	Disorders	1-		-
lo.	Series Title	In Office	Records	Destroy	
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1	Job Descriptions	ACTIVE + 5CY		ACTIVE . SO	
		T		ACTIVE + 50	Y Active=until position is abolished
2	Audit Files	5CY		5CY	
	Crvil Service Certificates of				
-	Eligibles/SF9s/Applications	3CY		3CY	
4	Civil Service Job Studies	5CY			
		307		5CY	
	Confidential Files	ACTIVE + SCY		ACTIVE + SC	Y Active=until employee separates from apancy
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- 9	EEO/AAP Reports	2CY		207	
]	Employee Grievance/ComplainUAppea				
-4	File	ACTIVE + SCY		ACTIVE + 5C1	Y Active=until final decision on grievance
1	Employee Personnel Files	10700		ACTIVE +	
1	- population nes	ACTIVE + 70CY		70CY	Active=until employee seperates from agency
9	Family Medical Leave Act Files	ACTIVE + SCY		ACTIVE + SCV	Active=until closed
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10	Stoup Benefil Invoices	70CY		70CY	
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12	surance Documents (Employee)	ACTIVE + 70CY		ACTIVE +	
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C F Fiscal Year (July 1 - June 30)

Date Agency DHH C ive Disorders -HR r_{1} L E Secretary of Slate. Archives and Records Services Date

Unsigned Schedules will be Returned to Agency

Al Ater

Secretary of State

Division of Archives, Records Management and History Florent Hardy, Jr., PhD. State Archivist and Ovactor P. D. Box 64126 Baron Rouge, La. 72604-4125 www.bard.burd.en.co.

www.aps.louis.ana.gov **Records Retention Schedule** Department: Department of Health and Hospitals Agency: Office of Addictive Disorders Item Records Destroy No. Series Title In Office Center After Disposition and Remarks Poderal Grant Records includes proposels and awards) Achive + 1 CY 3 CY AcU+e • 4 CY Active = unsi gram is crosed or proposal is rejected. Budget Records (includes requests, working papers and tracking charts) 1 GY 3 CY CY Client Case Files (includes outpatient and inpationi records, progress notes, medical inisiony shedid, montal status eports, treatment plans, client data sheed, service fickets, status changelevaluation shaets, medication order sheals, consent to bearment form, consent to use Social Security number for Chont ID, flow sheets declarations of patient righte and dischärge summanes) Acive + 1 CY 0 CY Active + 7 CY Active > until case is cideed/integiment ends. Non-medical Client Case Files Active + 1 CY 3 GY Active + 4 C Y Active = un3i case is closed/treatment ends Infection Control Plans Pamaneni Pormananel Fire, Disesser and Loss Prevention Planc Permaneni Permananat Staff Meeting Notes 10 C.V 10 CY Client Referrais (Non-Admits) 3 CY з СҮ Litigation Files Active + 1 CY Antiue + 1 CY Active - Uniti eless is ingetion is resulted Accounting Files (including, third party billing to private insurance companies, requisitions, journal sheets direct eervice lickels, ladger cards on crosed out chents, travel investees Nysican's requesi for paymont of fees purchase proofs, /eceiving reports, and telephone bills; CY 3 64 4 CY Contract Files (Includes supporting documentation and related correspondences Active + 1 CY 3 CY Active +4 CY Active + until constact expines State Office Directives from Health and Hospitals Active + 1 CY 3 C Y Active + 4 GY Active = Unit superseded State Office Directives from Office of Addictive Oleorders armanaci Permananak Reports (including program activities, elimative action, state vehicles and 4 neligblic patient fees CY зсү 4 CY Admission Books (including mase istings of patience names and data of Admission] t CY 3 CY 4 CV 6 Medicald/Medicare Cost Reports a CY 3 ÇY 6 C Y 17 Records Management Files Section's Time Sheets/ Leave Slips Permanen Permatianes 10 Overtime Approval ADUVE + 1 CY 4 CY 6 CY Active = unN employee separates from agoncy FY = Fiscal Year (July 1 - June 30) ce of Artifice Disorders Approval hard CY = Calendar Year (Jan 1 - Dec 31) NOTE: Records of deceased cilents follow same retantion as records series listed above. Oale Agency DHI Date Secretary of Stare, Archives and Records Service's SS ARC 932 Unsigned Schedules will be Returned to Agency

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	Secretary of State				Division of Archives, Records Management and History
					Florent Hardy, Jr., PhD. State Archivist and Director
					P.O. Box 94125
					Baton Rouge, LA 70804-4125
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	Department: Louisiana Depart Agency: Office of Mental Hea	rtment of Heal	th & Hospita	als.	
terr	Agency, once of mental ries	1	Records		
ło,	Series Title	In Office	Center	Destroy After	Disposition and Remarks
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	Correspondence	1 FY	2 FY	3 FY	
7	Consumer Complaints	Active + 3 FY		Active = 3 FY	Active = until resolved.
1	Continuing Education	3 14		2.5%	
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	Contracts	Active +1 FY	2 FY	Active + 3 FY	Active - until contract expires.
5	Fiscal Files	3 FY	7 FY	10 FY	
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-	Grant Files	Active + 3 FY	+	Active + 3 FY	Activo = unitil grant concluded/closed.
7	Human Resource Files	Aclive + 70 FY		Active + 70 FY	Active = unteramployed separates from agency
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14	Program Files	1 FY	2 FY	3 FY	1
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Agency - DHH/Office of Mental Health Date 6101 (0/3/ Date

Unsigned Schedules will be Returned to Agency

	Al Ater				Division of Archives, Records Management and Histor
	Secretary of State				Florent Hardy, Jr., PhD
					State Archivist and Director
					P.O. Box 94125
					Balon Rouge, LA 70604-4125
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		In Office	In Storage	Total Retention		Securi	ViriðnA State F	Center	Remarks	
	Adult Medical Records (Civil)	ACT	10 FY	ACT+ 10 FY	1	c c	z	>	ACT=Until the end of the Fiscal Year in which patient is discharced	
	Adult Medical Records 9 (Forensic)	ACT	10 FY	PERM	0	er er	z	>	ACT=Until the end of the Fiscal Year in which patient is discharged Microfilm after ACT+ 10 FY	
	Non admitted client referrals	ACT	6 Mo.	Act + 6 Mo	0	0	z		Act = Until then and of the Month in which referral has expired.	
	Administrative Correspondence	Perm	Perm	Perm	×	~	z	>		
	General Correspondence	ACT+1FY	4 FY	ACT+ 5 FY	Σ	s s	z	-	ACT= until the end of the FY in which the record is created or received.	
	Correspondence/Memoranda/Policy Making	Perm	Perm	Perm	Z	~	z	>		
	TQM Surveys & Reports	ACT+1FY	9 FY	ACT+ 10 FY	0	so l	z	>	ACT= until the end of the FY in which the record is created or received	
	In Service Training	Act	3 FY	Act + 3 FY	Σ	0	z	-	Act = Until the end of the FY in which the employee separates from agency.	
	Annual Reports	Perm	Perm	Perm	۵.	۳	z	>		
	Cooperative agreements with other agencies	Act + 10 FY		Act + 10 FY		S	z	>	Act = Until the end of the FY in which the agreement expires or is terminated.	
ed Reta	Permitted Retention Period Abbreviations ACT – Active Period (when used define term in remarks column)	Security Status Codes	tus Codes	S	State F	Record	State Records Center Use	5	Agency Abbreviations	
cal Year	FY-Fiscal Year (July 1-June 30)	M - May Con	M - May Contain Confidential Information		Y - Yes	40			TQM = Total Quality Management	
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Date Approved

Secretary of State, State Archives & Records Services

Date Signed

Agency Approval

Records Retention Schedule

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Attachment C- East Louisiana Mental Health System

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S Other and Services									Y ODICIVAL CLIDNICCION
	East Louisiana Mental Health System								
Item Number	Records Series Title	Ř	Retention Period	poi	£	ie.	spiose		
		In Office	In Storage	Total Retention	Securit	svidərA	State R Center	letiV	Remarks
11	Deeds/Mortgages	Perm	Perm	Perm	٩	œ	z	>	
12	Affirmative Action Reports/Guidelines and Plans	Act + 1 FY	Perm	Perm	٩	œ	z	>	Act = Until the plan is superseded.
13	State Vehicles Reports	Act + 2 FY	7 FY	Act + 9 FY	Σ	s	z	-	Act = Until end of the FY in which resolution of fitigation has been reached.
14	Ineligible Patient Fee Reports	Act + 1 FY	4 FY	Act + 5 FY	٩	ŝ	z	-	Act = Until end of the FY in which the record has been Audited
15	Policies and Procedures	ACT	Perm	Perm	٩	۲	z	>	Act = Until policy/procedure updated
16	Admission Log Books	ACT	PERM	PERM	U	۲	z	>	ACT= until the end of the FY in which the record was created or received.
17	Client Accident/Injury Reports	ACT	9 FY	10 FY	Σ	s	z	>	ACT= Until the end of the FY in which the matter was closed.
18	Employee Accident /Injury Reports	ACT+ 2FY	7 FY	Act + 9 FY	s	s	z	-	ACT= Until the end of the FY in which the matter is closed.
6	Staff Meetings Notes	ACT	9 FY	ACT+ 10 FY	۵.	s	z	>	Act = Until end of the FY in which the meeting was held.
20	Blue Prints	Perm	Perm	Perm	Σ	۲	z	>	
Permitted Ret ACT – Active P FY- Fiscal Year CY – Calendar	Permitted Retention Period Abbreviations ACT – Active Period (when used define term in remarks column) FY- Fiscal Year (July 1- June 30) CY – Calendar Year (Jan 1 – Dec 31)	Security Status Codes P - Public Record M - May Contrain Confidential Information C - Confidential Information	Confidential In Confidential In		State Records Center Use Y – Yes N – No	ords (enter		Agency Abbreviations
AY – Academic Yea FFY – Federal Fisca MO – Months VIK - PERM – Permanent	r (Aug 1 – July 31) I Year (Oct 1 – Sept 30) - Week DY - Day(s)	Archival Processing Codes A - Transfer to State Archives R - Retain in Agency Archives S - Review by State Archives 0 - Other (Specify in Remarks)	Ing Codes ate Archives hcy Archives te Archives in Remarks)	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Vital Record Identification Code V= Vital I = Important U= Useful	ant C	ąę		

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Secretary of State, State Archives & Records Services

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21	Garnishments	Act + 1	4 FY	Act + 5 FY	Σ	S			Act = Until the end of the FY in which the garnishment
22	Equipment Contracts	Act + 1	9 FY	Act + 10 FY	٩	s	z	>	Act = Until the end of the FY in which the equipment's useful if is reached
23	Professional Services Contracts	Act + 2 FY	7 FY	Act + 9 FY	s	s	z	-	Act = Until the end of the FY in which the contract excites or is terminated
24	Grants	Act +1 FY	5 FY	Act + 6 FY	٩	s	z	-	Act = Until the end of the FY in which the grant expires or is terminated
25	Volunteer Records	Act + 1 FY	4 FY	Act + 5 FY	N	s	z	-	Act = until the end of the FY in which the volunteering
26	Personnel Files	Act + 1CY	69 CY	Act + 70 CY	W	s	z	>	Act = until the end of the CY in which the employee separates.
27	Unsuccessful Applicants	Act	2 FY	Act + 2 FY	υ	ы	z	5	Act = until the end of the FY in which a successful applicant is hired or position is closed.
28	Evaluation and Performance Reviews	Act	4 FY	Act + 4 FY	z	ŝ	z	-	Act = Until the end of the FY in which the employee separates from agency.
29	Grievance Records	Act	10 FY	Act + 10 FY	×	s	z	-	Act = Until the end of the FY in which the matter has been resolved or case closed.
30	Employee Exposure and Medical Records	Act	Perm	Реш	U	œ	z	>	Act = Until the end of the FY in which the employee separates from agency.
Permitted Rei ACT – Active F	Permitted Retention Period Abbreviations ACT – Active Period (when used define term in remarks column)	Security Status Codes	odes	State	State Records Center Use	ords C	enter	È	Agency Abbreviations
FY- Fiscal Yea CY - Calèndar	FY- Fiscal Year (July 1- June 30) CY - Calendar Year (Jan 1 - Dec 31)	M - May Contain Confidential Information C - Confidential Information	Confidential In formation		Y - Yes N - No				
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Secretary of State, State Archives & Records Services Date Approved

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JOD Announcements		ACT+ 1 FY	1 FY	ACT+2FY	•	ر در ا	z	>	ACT= until the end of the FY in which records was
Application for Employment	ment	ACT+ 1 FY	1 FY	ACT+2FY	Σ	s	z	-	ACT= until the end of the FY in which records was created or received.
Employee Payroll		ACT+1FY	4 FY	ACT+ 5 FY	۵.	s	z	>	ACT= until the end of the FY in which records was created or received
Departmental Annual Reports	Reports	ACT+5FY	PERM	PERM	Σ	ĸ	z	>	ACT= until the end of the FY in which records was created or received
Pharmacy Records		Act + 1 FY	9 FY	Act + 10 FY	o	s	z	>	Act = Until end of FY in which patient is discharged
Narcotic Records		Act	5 FY	Act + 5 FY	0	s	z	>	Act = Until end of FY in which patient is discharged
Medication Logs		Act + 1 FY	9 FY	Act + 10 FY	U	s	z	>	Act = Until enc of FY in which patient is discharged
ACT - Active Period (when used define term in remarks column)	rm in remarks column)	Security Status Codes	Codes	0	tate Rec	Orde	enter	1	Anoneu Abbaniatione
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FFY - Federal Fiscal Year (Oct 1 - Sept 30)	0	Archival Processing Codes	sing Codes	>	Vital Record	p			
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Records Retention Schedule ģ Louisiana Secretary of State Division of Archive

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Item Number	Records Series Title	ŭ	Retention Period	riod			ecords		REPLACEMENT PAGE ADDENDUM PAGE
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38	Fiscal Files	ACT +2 FY	8 FY	ACT+ 10 FY	S	S	z	>	ACT= until the end of the FY in which records was created or received.
39	Quarterly, Monthly, Semi-Annual Budget Reports	Act + 2 FY	7 FY	Act + 9 FY	Σ	S	z	-	ACT= until the end of the FY in which records was created or received.
40	Vendor Files	Act + 2 FY	7 FY	Act + 9 FY	×	s	z	>	ACT= until the end of the FY in which records was created or received.
14	Requisitions	Act + 2 FY	7 FY	Act + 9 FY	Σ	s	z	>	ACT≈ until the end of the FY in which records was created or received.
42	Cancelled Checks	Act + 2 FY	7 FY	Act + 9 FY	Σ	w	z	-	ACT= until the end of the FY in which records was created or received.
43	Bank Statements	Act + 2 FY	7 FY	Act + 9 FY	Σ	S	z	>	ACT= until the end of the FY in which records was created or received.
45	Purchase Orders	Act + 2 FY	7 FY	Act + 9 FY	Σ	s	z	>	ACT= until the end of the FY in which records was created or received.
46	Receiving Reports	Act + 2 FY	7 FY	Act + 9 FY	Ξ	s	z	>	ACT≋ until the end of the FY in which records was created or received.
47	Medicare & Medicaid Files	Act + 2 FY	7 FY	Act + 9 FY	U	s	z	>	ACT= until the end of the FY in which records was created or received.
48	Workers Compensation Records	Act	5 FY	Act + 5 FY	U	S	z	>	Act = Until the and of the FY in which the claim is resolved.
ACT - Active P	ACT – Active Period (when used define term in remarks column)	Security Status Codes	codes	0.	state R	ecords	State Records Center		Agency Abbreviations
CY - Calendar	r - riscar rear (Jury 1- June 30) CY - Calendar Year (Jan 1 - Dec 31)	P - Public Record	Confidential In		Use Y - Yes				
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		S – Review by State Archives	te Archives		I = Important	ortant			
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64	Food Inventory	ACT+ 1 FY	2 FY	ACT+3FY	٩	s	z	ACT= until the end of the FY in which records was created or received.	which records was	
2 20	ORM Safety Audits	ACT+1 FY	9 FY	ACT+ 10 FY	υ	s	z	V ACT= until the end of the FY in which records was created or received.	which records was	
5	Menus	ACT+1FY	5 FY	ACT+ 6 FY	×	- 0	z	U ACT= until the end of the FY in which records was created or received.	which records was	+
76	Nutritional Assessments	ACT	6 FY	ACT+ 6 FY	N	s	z	 ACT= until the end of the FY in which records was created or received. 	thich records was	
20	Meal Count	ACT+1FY	5 FY	ACT+6FY	٩	s S	z	 ACT= until the end of the FY in which records was created or received. 	hich records was	-
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Agency Approval

Secretary of State, State Archives & Records Services Date Signed

Date Approved

Attachment D- LA Commission for the Deaf ÷

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	Secretary of State				rchives, Records Management and History Florent J. Hardy, Jr., PhD. State Archivist and Director P. O. Box 94125 Baton Rouge, LA 70804-4125 Http://www.scc.state.la.us
	spartment: Department of Social Services	Re	cords Retention Sc	hedule	
Ai	gency: Louisiana Rehabilitation Services	In Office	Records	Pag Destroy After	pelof4
-	Series Title Administrative &		Center		Disposition and Remarks
	Programmatic Records: Fiscal/Budget Records: Paid Files				
	raio rues	6 FY		6 FY	EDGAR
	Accounts Receivable	6 FY		6 FY	EDGAR
	Federal Reports	6 FY		6 FY	EDGAR
	State Reports	6 FY		6 FY	EDGAR
	Budget Documentation	6 FY		6 FY	EDGAR
	Validation Reports	6 FY		6 FY	EDGAR
	Social Security Reimbursement Records	6 FY		6 FY	EDGAR
	Purchasing Records	6 FY		6 FY	EDGAR
	Telephone Bills	6 FY		6 FY	EDGAR
	Travel Expense Reports	6 FY		6 FY	EDGAR
	Regional Office Personnel: Regional Office Payroll Time & Attendance Sheets/Leave Slips	6 FY		6 FY	EDGAR
	All Contracts:	Active + 10 FY		Active + 10 FY	Active = expiration date of the contract.
	Site Reviews	6 FY		6 FY	EDGAR
	Request for Proposals: - Funded - Non-Funded	10 FY 6 FY		10 FY 6 FY	EDGAR
	Grants	6 FY		6 FY	EDGAR

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Rehabilitation Services Administration's: Informational Memorandums	6 FY			
remorandums	OFY		6 FY	EDGAR
Reports	6 FY		6 FY	EDGAR
Contracts	Active + 10 FY		Active + 10 FY	Active = expiration date of contract.
Grant Awards	6 FY		6 FY	EDGAR
Grantee Reporting Forms	Active + 6 FY		Active + 6 FY	EDGAR Active = Grantee has met payback requirements.
State Plan	20 FY	Permanent	Permanent	Permanent or Archival Value.
Louisiana Rehabilitation Services' Policy & Procedure	20 FY	Permanent	Permanent	Permanent or Archival Value.
Strategic Plan	20 FY	Permanent	Permanent	Permanent or Archival Value.
Quality Assurance Records	6 FY		6 FY	EDGAR
Audit Reports	6 FY		6 FY	EDGAR
In-Service Training Records	Active + 6 FY		Active + 6 FY	EDGAR Active = federal grant ends.
Independent Living Reports	6 FY		6 FY	EDGAR.
Supported Employment Reports	6 FY		6 FY	EDGAR
Council Documents	20 FY	Permanent	Permanent	This includes State Use Council, Act 378 Council, and Developmental Disabilities Council Reports
Accessibility Reports	6 FY		6 FY	(Archival Value). EDGAR
Louisiana Rehabilitation Council Meeting Minutes	20 FY	Permanent	Permanent	Permanent or Archival Value. Note: Also transfer copy to archives annually.
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Consumers' Records: Consumer Case Records	Active + 6 FY		Active + 6 FY	EDGAR Active = case is closed.
Vocational Evaluations	6 FY		6 FY	EDGAR
 Consumer Referral Logs	6 FY		6 FY	EDGAR
Agency Appeals: Fair Hearing Records Federal Appeals Reports	6 FY 6 FY		6 FY 6 FY	EDGAR EDGAR
Property Control Records	6 FY		6 FY	EDGAR
Safety Reports	6 FY		6 FY	EDGAR
State Vehicle Logs	6 FY		6 FY	EDGAR
Employee Authorization/Driving History	6 FY		6 FY	EDGAR
Randolph Sheppard Program; Facility Files	Active + 6 FY		Active + 6 FY	EDGAR Active = during life of facility.
Insurance Recipient files	Active + 6 FY		Active + 6 FY	EDGAR Active = until date of death of recipient.
Facility Agreements	Active + 10 FY		Active + 10 FY	Active = until date agreement expires.
Louisiana Rehabilitation Services' Requests- Vendor Agreements	Active + 10 FY		Active + 10 FY	Active = until date agreement expires.
Host Agreements	Active + 10 FY		Active + 10 FY	Active = until date of resolicitation.
Manager Files	Active + 6 FY		Active + 6 FY	Active = until date of death of client.
Purchase Approvals	6 FY		6 FY	EDGAR
Elected Committee Minutes	20 FY	Permanent	Permanent	Permanent or Archival Value.
Blind Vendor Trust	20 FY	Permanent	Permanent	Permanent or Archival Value.

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Debt Payment Log	Active + 6 FY		Active + 6 FY	EDGAR Active until debt is paid.
Facility Fiscal Records	Active + 6 FY		Active + 6 FY	EDGAR Active until facility closes.
Louisiana Commission for the Deaf: Minutes of Interpreter Certification Board & Telephone Access Board	20 FY	Permanent	Permanent	Permanent or Archival Value.
Consumer Files	Active + 6 FY		Active + 6 FY	EDGAR Active until case closure.
Commission Policies & Procedures	20 FY	Permanent	Permanent	Permanent or Archival Value.
Contracts & Documentation	Active + 2 FY	8 FY	10 FY	Active until expiration date of contract.
Task Force & Committee Final Reports	20 FY	Permanent	Permanent	Permanent or Archival Value.
Traumatic Brain Injury/Spinal Cord Injury Trust Fund:				
Administrative Records (Database)	20 FY	Permanent	Permanent	Database tracks expenditures on each consumer. (Archival Value).
Appeals	6 FY		6 FY	EDGAR
Consumer Records	Active + 6 FY		Active + 6 FY	EDGAR Active until case closure.
EDGAR-Education Department Ge	neral Admin	istrative	Approval:	
Regulations FY- Fiscal year (State)			Jam	a blallas
E T. LIPPHI JOHN (DIMIE)			8/11/0	s for Rehal. Ser.
			Date, Secretary 12/30/05 Undersigned Sch	

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Attachment E- Office of Aging and Adult Services

SS ARC 932 (01/12)

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7	Annual Budget Audit Reports)	ACT + 6 FY		ACT + 6 FY	٩	s	z	-	ACT = until the end of the FY in which the report is issued.	
12	Contracts	ACT + 10 FY		ACT + 10 FY	٩	ω	z	-	ACT = until end of the FY in which the contract ends or is terminated.	
13	Request for Information-Bid/Contracts	ACT + 1 FY		ACT + 1 FY	o	w	z	-	ACT = until end of FY in which contract awarded.	-
14	Employee Driving Records	ACT + 2 FY		ACT + 2 FY	o	s	z	>	ACT = until employee separates' from OAAS.	-
15	Property Risk Management Claims	ACT + 1 CY		ACT + 1 CY	٩	s	z	>	Active = until end of CY in which claim is closed out.	
16	Travel Expense Records	ACT + 1 FY		ACT + 1 FY	U	w	z	-	ACT + until the end of the FY in which the expense is paid.	
17	Provider Audit Files	ACT + 3 FY	3 FY	ACT + 6 FY	o	w	z	>	ACT = until the end of the FY in which the audit is completed.	
18	Service Review Panel (SRP) Meeting Notes	Perm		Perm	o	œ	z	>	Permanent and highly confidential. Waiver awards decision are made, reeded for appeals, lawsuits, etc.	
19	Mortality Review Committee	ACT + 1 FY		ACT + 1 FY	U	Ś	z	>	Active = until end of "Y in which case is reviewed and closed.	
Permitted Retv ACT – Active P	Permitted Retention Period Abbrevlations ACT – Active Period (when used define term in remarks column)	Security Status Codes P - Public Record	Codes	Stat	State Records Center Use	ords C	enter	-	Agency Abbreviations	

Agency Approval

Secretary of State, State Archives & Records Services

Date Signed

Vital Record Identification Code

FFY - Federal Fiscal Year (Oct 1 - Sept 30) MO - Months WK - Week DY - Day(s)

PERM – Permanent

AY - Academic Year (Aug 1 - July 31)

CY - Calendar Year (Jan 1 - Dec 31) FY- Fiscal Year (July 1- June 30)

Y – Yes oN - N

M - May Contain Confidential Information

l = Important U= Useful

S – Review by State Archives O – Other (Specify in Remarks) R – Retain in Agency Archives A - Transfer to State Archives Archival Processing Codes C - Confidential Information

V= Vital

Date Approved

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018.000	Department of Health and Hospitals/Office of Aging and Adult Services (OAAS)	jing and Adult S	services (O	AAS)					RENEWAL
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20	Quarterly Critical Incidents Reports	ACT + 5 FY		ACT + 5 FY	۵.	w	z	>	ACT = until the end of the FY in which the record was created or received.
21	OAAS Walver Participant files	ACT + 1 CY	scγ	ACT + 5 CY	0	o	>	>	ACT = until end of the CY in which participant leaves waiver program.
22	OAAS Policies and Operational Instructions	Perm		Perm	٩	œ	z	>	D
23	OAAS Internal Policy Manuals	Perm		Perm	۵.	œ	z	>	
24	Waiver Policy Manuals	ACT + 5 FY		ACT + 5 FY	٩	o	z	>	ACT = until end of FY in which policy is suspended or abolished. Original published by BHSF.
25	OAAS Numbered Documents and Policy Memorandum	Perm		Pem	۵.	~	z	>	
26	Rulemaking (OAAS)	Perm		Perm	٩	۲	z	>	
27	Rulemaking Request for Waivers)	Perm		Perm	٩	۲	z	>	Copy kept for reference purposes; BHSF rulemaking unit has original waiver rulemaking request record.
28	Protective Services (APS and EPS) Participant Files	ACT + 5 FY		ACT + 5FY	o	œ	z	>	ACT = until end of the FY in which the record was created
29	National Voter Registration Act (NVRA) documents	10 CY		10 CY	0	œ	z	>	Electronic format
30	National Voter Registration Act (NVRA) documents	5 CY		scY	U	Ľ	z	>	Hard copy format
Permitted Ret	Permitted Retention Period Abbreviations	Security Status Codes	odes	Sta	te Re	cords	State Records Center	T	Agency Abbreviations
ACT – Active F	define term in remarks column)	P - Public Record		Use					BHSF- Bureau of Health Services and Financing
FY-Fiscal Yea		M - May Contain Confidential Information	Confidential In		Y – Yes				
CY - Calendar		C - Confidential Information	formation	ż	N- No				
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Date Approved Secretary of State, State Archives & Records Services

Agency Approval

Date Signed

SS ARC 932 (01/12)

Louisiana Secretary of State, Division of Archives, Records Management and History

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177.000	Louisiana Traumatic Brain Injury/spinal Cord Injury Trust Fund Board	jury Trust Fund	Board						X_ORIGINAL SUBMISSION	
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2	Participant Case Record	Perm		Реш	U	۲	z	>		1
e	General Correspondence	ACT + 3 CY		ACT + 3 CY	z	s	z	5	ACT = until the end of the CY in which the record was created or received.	-
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CY - Calendar	CY - Calendar Year (Jan 1 - Dec 31)	C - Confidential Information	formation		N - No					
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PERM – Permanent	anent	S - Review by State Archives	te Archives	<u>.</u>	I = Important	ti k				
		O – Other (Specify in Remarks)	in Remarks)	5	U= Useful					

Agency Approval

Secretary of State, State Archives & Records Services

Date Signed

Date Approved

Attachment F- Materials Management/Procurement Support

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W. Fox N	cKeithen	+			
Secratar	y of State				Division of Archives, Records Management and Histor
					Florent J. Marsiy, Jr., PhD. State Archivist and Director
					P.O. Box 94125
			-		Baton Roupe, LA 20804-4125
			ds Retentio	n Schodule	Http://www.sec.state.its.us
Department: HE	ALTH AND HOS	FITALS			
tem	E OF MANAGEM	ENT AND FI	NANCE - MA	TERIALS M	ANAGEMENT/PROCUREMENT SUPPORT
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1201 Capitol Access Baton Rouge, LA 70 225.342.8778 FAX 225.342.9046	Road, 5th Floor,	Bin #36	L	e/23/0	5 August Harr CRU ecretary of State, Archives and Records Services
		Unsigni	ed Schedules	will be Retu	rned to Agency

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09-307	DHH Office of the Secretary/Division of Planning and Budget/Office of Management and Finance	ng and Budget/O	ffice of Man	agement and			1		X_ORIGINAL SUBMISSION RENEWAL
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-	Agency Budget Requests filed to DOA	FY+2	FY + 4	7		×			
2	Appropriation Letters	FY + 2	FY + 4	7		×		_	
ب	BA-7 forms and back up documentation	FY + 2	FY + 4	7		×			
4	Time sheets with back up documentation	FY +2	FY + 4	7		×		_	
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Permitted Retu	Permitted Retention Period Abbreviations ACT – Active Period (when used define term in remote actived)	Security Status Codes	odes	State	State Records Center	ords C	enter	Agi	Agency Abbreviations
FY- Fiscal Yean CY - Calendar	FY-Fiscal Year (July 1- June 30) CY - Calendar Year (Jan 1 - Dec 31)	P - Public Record M - May Contain Confidential Information C - Confidential Information	Confidential Inf		Y - Yes N - No				
AY - Academic Year FFY - Federal Fisca MO - Months WK - PERM - Permanent	AY – Academic Year (Aug 1 – July 31) FFY – Federal Fiscal Year (Oct 1 – Sept 30) MO – Months WK – Week DY - Day(s) PERM – Permanent	Archival Processing Codes A – Transfer to State Archives R – Retain in Agency Archives	ing Codes ate Archives hcy Archives	tir de	Vital Record Identification Code V= Vital I = Immortant	ion Co	ę		
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Attachment G- Planning and Budget

Secretary of State Archives & Records Services Date Approved

Date Signed

Agency Approval

Attachment H- Health Services Financing



STATE OF LOUISIANA DEPARTMENT OF HEALTH AND HOSPITALS



MEMORANDUM NO: 00 - S - 051

- TO: Program Managers Regional & Assistant Managers
- FROM: Erin Rabalais, RN Manager St
- DATE: 7/27/00

RE: RECORD RETENTION POLICY

Records or documents produced as a result of licensing and certification survey activities conducted by the Health Standards Section of the Bureau of Health Services Financing will be maintained as outlined in this memorandum. The references for this policy can be found in the State Operations Manual (SOM) at Section 4800 et seq. and La, Revised Statute 44;36.

RECORDS TO BE RETAINED INDEFINITELY

- Provider's utilization review plan
- Expression of fiscal intermediary preference
- transfer agreement (for SNFs)
- floor plan (if revised, the SA retains the superseded documents)
- physical plant layout (if revised, the SA retains the superseded documents)
- Provider Agreement
- Copies of Certification and Transmittal transmitted to HCFA R/O for initial certification
- Request to Establish Eligibility forms
- Initial licensing application forms

RECORDS TO BE RETAINED FOR A PERIOD OF THREE YEARS (Plus the current year)

- All forms completed as a result of a licensing or certification survey
- All documents received or completed as a result of an application renewal process
- All correspondence received from a provider

Page 1 of 2

OFFICE OF MANAGEMENT AND FINANCE • BUREAU OF HEALTH SERVICES FINANCING • HEALTH STANDARDS SECTION 655 NORTH FIFTH STREET - THIRD FLOOR (70802-5313) • P.O. BOX 3767 • BATON ROUGE. LOUISIANA 70E21:3767 PHONE • VOICE (225) 342-0138 • FAX (225) 342-5292 *AN EQUAL OPPORTUNITY EMPLOYER*

- All correspondence <u>sent to</u> a provider, either as a result of a survey or in reply to an inquiry from a provider
- ** EXCEPTION:
- If certification surveys are done less often than annually; the two most recent recertification surveys should be retained even if the time frame exceeds a period of three years.

NOTE: Any record where litigation is pending shall be maintained until closure of the action.

BUDGET AND FINANCIAL REPORT FILES

State Agency records used to estimate, justify, and approve State Agency program costs and to account for funds received and expended by the State Agency (ie: HCFA-1465A, HCFA-1466, HCFA-435, HCFA-434) shall be retained for a period of three (3) years after the calendar year in which a DHHS audit has been completed. If a DHHS audit has not been performed, the records may be destroyed five (5) years following the calendar year in which the regular audit was completed.

cc: Lisa Deaton, Ken Baker, Terry Cooper, Barbara Anthony

Revised 6/2000

Page 2 of 2

Louisiana Se	ent I – Fiscal Re cretary of State, Division of Archives, Records Mana ox 94125, Baton Rouge, LA 70804					lttp://	www.s	ios.la.g	jov	SS ARC 932 (01/12) Page 1 of 2 Indicate Use of Form
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ltem Number	Records Series Title	Retention Period				2	=	Recor		ADDENDUM PAGE
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1	Vendor and Contractor Paid Files	3 FY	3 FY	6 FY		м	s	Y	v	
2	Travel Reimbursement Files	3 FY	3 FY	6 FY		м	s	Y	۷	
3	Medicaid Provider Financial Files	3 FY	3 FY	6 FY		м	s	Y	۷	
4	Medicaid Escrow Reconciliations	3 FY	3 FY	6 FY		м	s	Y	۷	
5	Time Statements	3 FY	3 FY	6 FY		м	s	Y	I.	
6	Annual Financial Reports	3 FY	9 FY	12 FY		Р	s	Y	۷	
7	Monthly Financial Statements	3 FY	7 FY	10 FY		P	s	Y	۷	Includes BUNDL reports. Workpapers, and Journal Vouchers
8	Grant Ledgers	3 FY	7 FY	10 FY		P	s	Y	v	Includes Cash on Hand, Payment Management System 272 Report and Federal Financial Report 269 and 269A
9	Cash Receipts	3 FY	7 FY	10 FY		м	s	Y	I.	Includes Workpapers and Federal Classification Documents
10	Receivables	3 FY	7 FY	10 FY		P	s	Y	۷	Includes Receivables, Yearend Reports and Quarterly Reports
Permitted Relention Period Abbrevitations ACT – Active Period (when used define term in remarks column) FY- Fiscal Year (July 1- June 30) CY – Calendar Year (Jun 1 – Dec 31) AY – Academic Year (Aug 1 – July 31) FFY – Federal Fiscal Year (Oct 1 – Sept 30) MO – Months WK – Week DY - Day(s) PERM – Permanent		Security Status Codes P – Public Record M – May Contain Confidential Information C – Confidential Information Archival Processing Codes A – Transfer to State Archives R – Retain In Agency Archives S – Review by State Archives O – Other (Specify In Remarks)			State Records Center Use Y – Yes N – No Vital Record Identification Code V – Vital I – Important U – Useful					Agency Abbreviations

Agency Approval

Date Signed

Secretary of State, State Archives & Records Services Date Approved

Attachment I – Fiscal

Records Retention Schedule

SS ARC 932 (01/12)

Agency No	Box 94125, Baton Rouge, LA 70804 Agency / Division / Section								Indicate Use of Form
307	Department of Health and Hospitals/Office of the Secretary/Office of Management and Fi						ter		_ORIGINAL SUBMISSION
							s Center		X_RENEWAL REPLACEMENT PAGE
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11	Medicaid Reports	3 FY	7 FY	10 FY	м	s	Y	v	Includes Centers for Medicare and Medicaid Services Reports (CMS 64, CMS 21, and CMS 37)
12	Cost Allocation	3 FY	7 FY	10 FY	P	s	Y	v	
13	Bank Reconciliation	ACT + 1 FY	4 FY	6 FY	Ρ	s	Y	v	ACT = Current Fiscal Year
14	Medical Assistance Trust Fund Files	3 FY	9 FY	12 FY	м	s	Y	v	
15	Daily Deposits	ACT + 1 FY	4 FY	6 FY	Ρ	s	Y	v	ACT = Current Fiscal Year; Includes Check Logs
16	Classification Documents – Non Federal	ACT + 1 FY	4 FY	6 FY	P	s	Y	v	ACT = Current Fiscal Year
17	Audit Receivables	3 FY	8 FY	11 FY	P	s	Y	v	Includes documents relative to A/R established due t a DHH Medicaid Audit
18	Accounts Receivables Control System Files	3 FY	7 FY	10 FY	P	s	Y	v	Electronic files
Permitted Retention Period Abbreviations					State R	cords	Center		Agency Abbreviations
ACT – Active Period (when used define term in remarks column)		P – Public Record			V – Yes				
FY- Fiscal Year (July 1- June 30)		M – May Contain Confidential Information			r – res N - No				
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Per Policy #VA16 - Clinical Review Committee Minutes are to be kept in Administrators' Office for 5 years, and The Appointing Authority is signed by the Office for Citizens with Developmental Disabilities Secretary, (Presently, Kathy Kliebert) and an Original is kept in Central Office). Indicate Use of Form X_ORIGINAL SUBMISSION __REPLACEMENT PAGE Remarks Agency Abbreviations: ACT = Active/Current __ADDENDUM PAGE then transferred to Storage. RENEWAL 8 ď Page 1 Vital Record Identification Code 6117 > ∍ _ > State Records Center Use -_ State Records z z z z z z Archival œ œ s ŝ Ś ဟ I = Important U= Useful Y - Yes すいす Security N - No υ υ ≥ ۵. ≥ Σ Retention PERM Total PERM PERM Š 문 ЗFY **Retention Period** M - May Contain Confidential Information Storage PERM FE 5 ž Ŧ O - Other (Specify in Remarks) ŝ R - Retain in Agency Archives A – Transfer to State Archives S – Review by State Archives Louisiana Secretary of State, Division of Archives, Records Management and History Archival Processing Codes C - Confidential Information Security Status Codes P - Public Record In Office PERM δÇ ç Ĕ ŤΓ ŝ Pinecrest Supports and Services Center / DHH/OCDD Appointing Authority (Other originals are kept in Employees file in Employee Administration) Clinical Review Committee (CRC) Meeting Insurance Recovery Property Damage ACT - Active Period (when used define term in remarks column) **Records Series Title** Post Office Box 94125, Baton Rouge, LA 70804 DA2041 Vehicle Accident Report Departmental Safety Meetings Administration-2 Administration - 3 Administration - 4 Permitted Retention Period Abbreviations FFY - Federal Fiscal Year (Oct 1 - Sept 30) Administration - 6 Administration - 5 Administration -1 MO - Months WK - Week DY - Day(s) AY - Academic Year (Aug 1 - July 31) Http://www.sos.louisiana.gov CY - Calendar Year (Jan 1 - Dec 31) FY- Fiscal Year (July 1- June 30) Minutes PERM – Permanent Agency No Item 4 c i ė ÷ 'n ó

Records Retention Schedule

SS ARC 932 (07/07)

Attachment J- Pinecrest Supports and Services Center

Agency Approval

Date Signed

Secretary of State, State Archives & Records Services Date Approved

Kept in Administration "Do Not Destroy" Files Kept in Administration "Do Not Destroy" Files Date Approved Indicate Use of Form Includes minutes and all attachments. X_ORIGINAL SUBMISSION Remarks ___REPLACEMENT PAGE Agency Abbreviations: ACT = Active/Current _ADDENDUM PAGE SS ARC 932 (07/07) RENEWAL Secretary of State, State Archives & Records Services Page 2 of 86 Vital Record Identification Code > > - HΛ -_ _ State Records Center Use 3 State Records z z z z z Archival œ s s i = important œ s U= Useful V= Vital Y - Yes N-No Security c υ o ۵., ۵. **Records Retention Schedule** Retention PERM PERM Total 4FY °℃ ЗCY M - May Contain Confidential Information **Retention Period** Storage 0 - Other (Specify in Remarks) 운 R - Retain in Agency Archives l≥ A - Transfer to State Archives S - Review by State Archives Archival Processing Codes C - Confidential Information Louisiana Secretary of State, Division of Archives, Records Management and History Security Status Codes P - Public Record In Office Date Signed PERM PERM ŝ Ŧ ЗÇ Agency No | Pinecrest Supports and Services Center / DHH/OCDD AdHoc Human Rights Committee Behavioral Department of Environmental Quality Permits for Wastewater ACT – Active Period (when used define term in remarks column) **Records Series Title** Human Rights Committee Minutes Post Office Box 94125, Baton Rouge, LA 70804 Insurance Information Notices Lease Agreements (Land) Right of way Permits Administration - 8 Administration - 9 Permitted Retention Period Abbreviations FFY - Federal Fiscal Year (Oct 1 - Sept 30) Administration - 7 MO - Months WK - Week DY - Day(s) Client Rights -1 Client Rights -2 AY - Academic Year (Aug 1 - July 31) CY - Calendar Year (Jan 1 - Dec 31) Http://www.sos.louisiana.gov FY- Fiscal Year (July 1- June 30) Agency Approval PERM - Permanent Item Number ġ Ξ ŕ 6 ø

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no longer provided. Cases in litigation or where charges are pending shall be maintained in accordance with legal mandates in the particular situation involved. ACT + = During Human Rights Research Period. ACT = While pending and receiving services at Pinecrest Supports and Services Center. Indicate Use of Form X_ORIGINAL SUBMISSION ACT = Until obsolete or superseded. Remarks ___REPLACEMENT PAGE Agency Abbreviations: ACT = Active/Current _ADDENDUM PAGE SS ARC 932 (07/07) RENEWAL ACT= Until closed. Page 4 of 86 Vital Record Identification Code AIA _ > _ State Records Center Use State Records z z z Archival s s s i = important U= Useful V= VII8 Υ-Υ08 N-N Security o U o Retention ACT + 3CY Total ACT °S M - May Contain Confidential Information **Retention Period** Storage 3CY 2Ç O – Other (Specify in Remarks) R - Retain in Agency Archives A - Transfer to State Archives S - Review by State Archives Archival Processing Codes C - Confidential Information Louisiana Secretary of State, Division of Archives, Records Management and History Security Status Codes ACT + Previous CY P - Public Record In Office Date Signed ACT ACT Agency No | Pinecrest Supports and Services Center / DHH/OCDD Restraints, Behavior, Rights, Target, Risk Indicator, Client to Client Attercation, Injury of Unknown Origin, Incident Reporting Error, Consumer Complaint Human Rights Research proposals/Research "Includes the following databases: Investigations, ACT - Active Period (when used define term in remarks column) **Records Series Title** Post Office Box 94125, Baton Rouge, LA 70804 Client Rights Databases* Permitted Retention Period Abbreviations FFY - Federal Fiscal Year (Oct 1 - Sept 30) MO - Months WK - Week DY - Day(s) Client Rights -8 Client Rights -9 Client Rights -7 AY - Academic Year (Aug 1 - July 31) CY - Calendar Year (Jan 1 - Dec 31) Http://www.sos.louisiana.gov FY- Fiscal Year (July 1- June 30) documents Agency Approval staff PERM - Permanent Item Number <u>1</u>6 5 ž

Records Retention Schedule

Secretary of State, State Archives & Records Services

Date Approved

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Date Approved

Secretary of State, State Archives & Records Services

Date Signed

Agency Approval

Records Retention Schedule

SS ARC 932 (07/07)

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Secretary of State, State Archives & Records Services

Date Signed

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Records Retention Schedule

SS ARC 932 (07/07)

Date Signed

Date Approved

Secretary of State, State Archives & Records Services

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Secretary of State, State Archives & Records Services

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Records Retention Schedule

Secretary of State, State Archives & Records Services

Date Signed

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104.	HEALTH SERVICES -DIRECTOR-6 Health Services Safety Meeting Minutes	1CY		1CY	z	w	z	5	
105.	HEALTH SERVICES -DIRECTOR-7 Approved Travel Authorizations (copies)	1CY		1CY	U	w	z	5	Contains travel guide booket
106.	HEALTH SERVICES -DIRECTOR-8 Department Personnel Files	ACT	1CY	ACT+1CY	۵.	w	z	2	ACT + # While employed. Include PAR's, PPR's, license (if applicable), CME's,
107.	HEALTH SERVICES -DIRECTOR-9 Consultant Folders (Contracted Services)	ACT	1CY	ACT + 1CY	U	s	z	5	Contains contracts, payments, invoices, copy of license
108.	HEALTH SERVICES -DIRECTOR-10 Employees Monthly Connections Training	1CY		1CY	0	s	z	5	ACT = While employed.
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Ξ	HEALTH SERVICES -DIRECTOR-13 Quarterly Drug Alerts	зсү		3CY	0	s	z	U Contains support a	Contains adverse drug reactions event for people we support at PSSC.
112.	HEALTH SERVICES -DIRECTOR-14 Quarterly Random Drug Screening Memos	2CY		2CY	U	s	z	I Memos fr employee	Memos from Employment Administration for random employee drug screening
113	HEAL TH SERVICES -DIRECTOR-15 DHH Emergency Preparedness Policy	PERM		PERM	٩	æ	z	5	
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118.	HEALTH SERVICES -DIRECTOR20 Medication Cart Inspection Summary	1CY		1CY	0	w	z	5	
.119.	HEALTH SERVICES - DIRECTOR21 Mortality Review Report (copies)	1 CY		1CY	U	s	z	5	
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129.	HEALTH SERVICES-DIRECTOR-31 Physicians Safety Meetings	1CY		1CY	U	s	z	2	
130.	HEALTH SERVICES -DIR-ECTOR32 Property Control Action Requests	2CY		2CY	z	ŝ	z	D	
131.	HEALTH SERVICES -DIRECTOR33 Property Receipts	1CY		1CY	z	s	z	U ordered	Includes records of inventories, supplies & equipment ordered, maintained & usec by individual departments
132.	HEALTH SERVICES - ELECTROENCEPHALOGRAMIELECTROCARDIOG RAM-34 ELECTROENCEPHALOGRAM Tracings	ACT	10 CY	ACT + 10CY	U	s	z	RS40:21 ELECTF where a medical	RS40.2144: RS40:1299.96 Includes actual strips generated by ELECTROENCEPHALOGRAM monitors & testing devices where a report or interpretationhas been recorded in the patient medical record. ACT+ = Until death or discharge.
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SS ARC 932 (07/07)

Date Signed

Agency Approval

Secretary of State, State Archives & Records Services Date Approved

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136.	HEALTH SERVICES –Health Information Department-38	104	756	206	+				
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SS ARC 932 (07/07)

Records Retention Schedule

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Infection Control Committee Minutes (copies) HEALTH SERVICES -Health Information Department-39

137.

State Records Center Use

Y – Yes

N-No

M - May Contain Confidential Information

Security Status Codes P - Public Record

ACT - Active Period (when used define term in remarks column)

FFY - Federal Fiscal Year (Oct 1 - Sept 30) MO - Months WK - Week DY - Day(s) AY - Academic Year (Aug 1 - July 31) CY - Calendar Year (Jan 1 - Dec 31) FY- Fiscal Year (July 1- June 30)

PERM – Permanent

Permitted Retention Period Abbreviations

C - Confidential Information Archival Processing Codes

Vital Record Identification Code

I = Important

R - Retain in Agency Archives A - Transfer to State Archives

V= Vital

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138.	HEALTH SERVICES –Health Information Department-40	1CY	2CY	ЗСY	U	s	z		
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139.	HEALTH SERVICES –Health Information Department-41 Employee Personnel File	ACT	1CY	ACT + 1CY	٩	w	z	U ACT +	ACT + = Duration of employment.
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Contains responses to request for information of individuals who never lived here. May contain evidence, statements & pictures of incidents/accidents that were investigated by Indicate Use of Form _X_ORIGINAL SUEMISSION ___REPLACEMENT PAGE Remarks Agency Abbreviations: ACT = Active/Current ACT + = Until death/discharge. ACT + = Until death/discharge. _ADDENDUM PAGE RENEWAL of 86 Secretary of State, State Archives & Records Services Page 27 Vital Record Identification Code THA > > ⊃ -State Records Center Use State Records z z z z z Archival ŝ Ś s Ś œ I = Important U= Useful V= Vital Security Y – Yes N-No ٩ υ ≥ o ۵. Retention ACT + 10CY ACT + 10CY Total Š ₫ 50 **Retention Period** M - May Contain Confidential Information Storage 10CY 10CY Ş O – Other (Specify in Remarks) R - Retain in Agency Archives A - Transfer to State Archives S - Review by State Archives Louisiana Secretary of State, Division of Archives, Records Management and History Archival Processing Codes C - Confidential Information Security Status Codes In Office P - Public Record ≩ ACT ACT ç Ş Agency No Pinecrest Supports and Services Center / DHH/OCDD HEALTH SERVICES -Health Information HEALTH SERVICES -Health Information HEALTH SERVICES -Health Information HEALTH SERVICES -Health Information Department-46 HEALTH SERVICES –Health Information HID Staff Meeting Monthly Reports ACT - Active Period (when used define term in remarks column). **Records Series Title** Post Office Box 94125, Baton Rouge, LA 70804 Correspondence – General Disclosure Records Permitted Retention Period Abbreviations FFY - Federal Fiscal Year (Oct 1 - Sept 30) MO - Months WK - Week DY - Day(s) Memorandums AY - Academic Year (Aug 1 - July 31) Department-45 Http://www.sos.louisiana.gov Department-47 Department-44 Department-48 CY - Calendar Year (Jan 1 - Dec 31) Living Wills FY- Fiscal Year (July 1- June 30) PERM – Permanent Item Number 쉭 <u>5</u>3 4 5 146.

Records Retention Schedule

SS ARC 932 (07/07)

Date Approved

Date Signed

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SS ARC 932 (07/07)

Louisiana Secretary of State, Division of Archives, Records Management and History Post Office Box 94125, Baton Rouge, LA 70804

Designated years for current oral, written electronic test requests. 42 CFR 493.1105 physical examinations, consultation reports, labs, x-ray reports and quarterly health profile reports. Contains electronic versions of patient annual medical Log of tests performed, date & initials of person who received specimen. Indicate Use of Form _X_ORIGINAL SUBMISSION ACT = Until obsolete or superseded. ACT = Until obsolete or superseded. ___REPLACEMENT FAGE Remarks Agency Abbreviations: ACT = Active/Current ___ADDENDUM PAGE RENEWAL Page 30 of 86 U 42 CFR 493.1105 Vital Record Identification Code чіл Ξ -State Records Center Use _ State Records z z z z z Archival Ś s ŝ s S I = important U= Useful Y - Yes V= Vital Security oN - No o o o o c Retention Total ACT ACT 50 ZC 2Cγ M - May Contain Confidential Information **Retention Period** In Storage ç °2 O – Other (Specify in Remarks) R - Retain in Agency Archives A - Transfer to State Archives S - Review by State Archives Archival Processing Codes C - Confidential Information Security Status Codes P - Public Record In Office ACT ACT 2Ç ₫ 2Ç Agency No | Pinecrest Supports and Services Center / DHH/OCDD Hospital Admissions & Discharges Report Health Information Department Databases HEALTH SERVICES –Health Information Department-59 HEALTH SERVICES –Health Information Department-60 Physician Network Patient Information HEALTH SERVICES -Laboratory-62 HEALTH SERVICES -Laboratory-63 HEALTH SERVICES -Laboratory 61 ACT - Active Period (when used define term in remarks column) **Records Series Title** Patient Laboratory Results Laboratory Requisitions Laboratory Test Log Permitted Retention Period Abbreviations FFY - Federal Fiscal Year (Oct 1 - Sept 30) MO - Months WK - Week DY - Day(s) AY - Academic Year (Aug 1 - July 31) CY - Calendar Year (Jan 1 - Dec 31) Http://www.sos.louisiana.gov FY- Fiscal Year (July 1- June 30) PERM - Permanent Item 137. 158. 159. 160. 161.

Date Approved

Secretary of State, State Archives & Records Services

Date Signed

Louisiana Secretary of State, Division of Archives, Records Management and History

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Records Retention Schedule

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Orders for medication as prescribed by the physician of medication history while living and PSSC. Files are maintained on a continuous basis in the Contains detailed information concerning daily pharmacy operations; maintained and updated according to agency standards. record; maintained in accordance with La. Board of Pharmacy Standards +1CY. Includes medical diagnoses and/or miscellancous medical orders. An electronic listing of each individual's Indicate Use of Form X_ORIGINAL SUBMISSION ___REPLACEMENT PAGE Remarks Agency Abbreviations: pharmacy computer system. ACT = Active/Current ___ADDENDUM PAGE RENEWAL Page 33 of 86 Vital Record Identification Code _ State Records Center Use _ -5 State Records z z z Archival œ Ś Ľ I = Important U= Useful Y ~ Yes V= Vital Security 0N - N ۵. C o Retention ACT + 3CY PERM PERM Total **Retention Period** M - May Contain Confidential Information In Storage šč O - Other (Specify in Remarks) R - Retain in Agency Archives A – Transfer to State Archives Archival Processing Codes S - Review by State Archives Louisiana Secretary of State, Division of Archives, Records Management and History C - Confidential Information Security Status Codos P - Public Record In Office PERM PERM ACT Agency No Pinecrest Supports and Services Center / DHH/OCDD HEALTH SERVICES -PHARMACY-77 Procedures Manual HEALTH SERVICES -PHARMACY-78 HEALTH SERVICES -PHARMACY-79 Department Personnel Files (copies) **Records Series Title** ACT - Active Period (when used define term in remarks column) Post Office Box 94125, Baton Rouge, LA 70804 MEDICATION PROFILES Permitted Retention Period Abbreviations FFY - Federal Fiscal Year (Oct 1 - Sept 30) MO - Months WK - Week DY - Day(s) AY - Academic Year (Aug 1 - July 31) Http://www.sos.louisiana.gov CY - Calendar Year (Jan 1 - Dec 31) Prescriptions FY- Fiscal Year (July 1- June 30) PERM – Permanent Item 175. 177. 176.

Records Retention Schedule

SS ARC 932 (07/07)

Secretary of State, State Archives & Records Services

Date Approved

Date Signed

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After death or discharge of person radiographs are kept in death/discharge file in office until 5CY...then sent to Baton Rouge for storage. X-ray reports are used if needed. Previous 10CY x-rays are tept in patient folder. Others are sent to Baton Rouge for storage. Contains detailed information concerning daily pharmacy operations; maintained and updated according to agency standards Indicate Use of Form "X_ORIGINAL SUBMISSION __REPLACEMENT PAGE Remarks Agency Abbreviations: ACT = Active/Current ADDENDUM PAGE RENEWAL Page 35 of 86 ACT' + 2CY ACT + 2CY Vital Record Identification Code TIA Ξ 5 ----_ State Records Center Use _ State Records z z z z z Archival s s œ ŝ s I = Important U= Useful gecnuty Y - Yes V= VIIal N-No Σ Z ۵. υ o Retention ACT + 2CY ACT + 2CY Total PERM ¹⁰C δÇ **Retention Period** M - May Contain Confidential Information In Storage Š 2Ç O – Other (Specify in Remarks) R - Retain in Agency Archives A - Transfer to State Archives Louisiana Secretary of State, Division of Archives, Records Management and History S - Review by State Archives Archival Processing Codes C - Confidential Information Security Status Codes P - Public Record In Office PERM 10C√ Date Signed ÅCT ACT δÇ Agency No Pinecrest Supports and Services Center / DHH/OCDD General Files (non-correspondence/memos) HEALTH SERVICES -PHARMACY-86 HEALTH SERVICES -PHARMACY-85 HEALTH SERVICES -PHARMACY-87 HEALTH SERVICES -Radiology-88 HEALTH SERVICES -Radiology-89 **Records Series Title** ACT - Active Period (when used define term in remarks column) Post Office Box 94125, Baton Rouge, LA 70804 General Correspondence/Memos Death/Discharge Radiographs In-Service Training Records Procedures Manuai FFY - Federal Fiscal Year (Oct 1 - Sept 30) Permitted Retention Period Abbreviations MO - Months WK - Week DY - Day(s) AY - Academic Year (Aug 1 - July 31) Http://www.sos.louisiana.gov CY - Calendar Year (Jan 1 - Dec 31) Radiographs FY- Fiscal Year (July 1- June 30) PERM – Permanent Item Number 183. 184. 185. 186. 187.

Records Retention Schedule

SS ARC 932 (07/07)

Date Approved

Secretary of State, State Archives & Records Services

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188.	HEALTH SERVICES -Radiology-90 Employee Dosimetry Reports	PERM		PERM	U	æ	z	V Environn XV	Must be maintained indefinitely or until the office of Environmental Compliance terminates the license environmental regulatory radiation protection code Part XV
189.	HEALTH SERVICES -Radiology-91 Department of Environmental Quality Inspection Reports	ACT		PERM	٩	æ	z	I ACT=I	ACT = Life of machine
190.	HEALTH SERVICES -Radiology-92 Calibrations of X-Ray Machine	ACT		PERM	<u> </u>	œ	z	I ACT=I	ACT = Life of machine
191.	HEALTH SERVICES -Radiology-93 E-mails and memos from administration	1CY		107	0	s	z	U Memos	Memos with directives from administration
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193.	HEALTH SERVICES -Radiology-95				+	1		+	
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194.	HEALTH SERVICES -Radiology-96					_			
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195.	HEALTH SERVICES -Receptionist-97				-			-	
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196.	HEALTH SERVICES -Receptionist-98					1			
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199.	HEALTH SERVICES -Receptionist-101 Paging System Log	PERM	PER	PERM	0	۳	z	>	
200.	HEALTH SERVICES -Receptionist-102 Louisiana Nursing Supply Disclosure Log	ACT	10CY	ACT + 10CY	0	w	z	>	
201.	HEALTH SERVICES -Receptionist-103 Physicians On-Call Schedule	scγ		scγ	0	w	z	u List	List of physicians on call for duty. 42 USC 1395cc; 42 CFR 489.20 (r)
202.	HEALTH SERVICES -Receptionist-104 Parking Lot Assignment Log	-tç	PER	PERM	U	œ	z	U Revi	Revised when changes are made.
203.	HEALTH SERVICES -Respiratory-105 Policy and Procedures	PERM		PERM	_ <u>~</u>	۳	z	>	
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SS ARC 932 (07/07)

Louisiana Secretary of State, Division of Archives, Records Management and History Post Office Box 94125, Baton Rouge, LA 70804

Time Sheets, leave/overtime slips, dr. statements, travel authorizations and documentation, FEDERAL MEDICAL LEAVE ACT, etc. Includes all corresponding attachments from 6/15/88 – present. Indicate Use of Form _X_ORIGINAL SUBMISSION Remarks ___REPLACEMENT PAGE Agency Abbreviations: ACT = Active/Current __ADDENDUM PAGE To document time entered. 45 CFR Parts 160 & 164 ACT = While employed. RENEWAL Page 39 of 86 Vital Record Identification Code ----------_ State Records Center Use State Records z z z z z Archival ŝ s Ś ŝ s Security Y - Yes N-No Σ ۵. ٥. ۵. o ACT +1 0CY Retention Total Š Š Š ξ **Retention Period** M - May Contain Confidential Information In Storage 10CY ŝ ŝ §CY Archival Processing Codes C - Confidential Information Security Status Codes P - Public Record In Office ACT ₫ ₫ 6FV ₫ Agency No Pinecrest Supports and Services Center / DHH/OCDD Accounting of Disclosures of Protected Health HEALTH SERVICES - Respiratory-107 HEALTH SERVICES -Timekeeper-108 HEALTH SERVICES -Timekeeper-109 HEALTH SERVICES -Timkeeper-110 Health Information Portability and ACT - Active Period (when used define term in remarks column) **Records Series Title** Accountability Act (HIPAA) -1 Absence Data Reports Timekeeping Records Permitted Retention Period Abbreviations In-Service Training FFY - Federal Fiscal Year (Oct 1 - Sept 30) Fixed Time Entries Personnel Files AY - Academic Year (Aug 1 - July 31) Http://www.sos.louisiana.gov CY - Calendar Year (Jan 1 - Dec 31) FY- Fiscal Year (July 1- June 30) Information Item 205. 207. 206. 208. 209,

Date Approved Secretary of State, State Archives & Records Services

I = Important U= Useful

O – Other (Specify in Remarks)

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MO-Months WK-Week DY-Day(s)

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Date Approved

Secretary of State, State Archives & Records Services

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218.	Health Information Portability and Accountability Act (HIPAA) - 10 Request for De-identified Information (I HIPAA 7511-03)	6FY		6FY	U	w	z	-	45 CFR Parts 160 & 164
219.	Health Information Portability and Accountability Act (HIPAA) -I1 Request to Receive Confidential Information by Alternative Means or at Alternative Location (HIPAA 7505-03 & 7521-03)	6FY		6FY	U	s	z	-	45 CFR Parts 160 & 164
220.	Health Information Portability and Accountability Act (HIPAA) - 12 Restricting Uses and Disclosures of Protected	θFY		6FY	U	w	z	-	45 CFR Parts 160 & 164
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Date Approved

Secretary of State, State Archives & Records Services

Date Signed

Agency Approval

Records Retention Schedule

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Date Approved Secretary of State, State Archives & Records Services

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SS ARC 932 (07/07) Page 53 of 86 4 **Records Retention Schedule** Louisiana Secretary of State, Division of Archives, Records Management and History Post Office Box 94125, Baton Rouge, LA 70804 Hittor//www.com/bruition.com

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Secretary of State, State Archives & Records Services

Agency Approval

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290. Proj	Property Control -5							10.	
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291. Prop	Property Control -6				_		:	+	
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292. Prop	Property Control -7	TOT	201	101 - 101	:	1	-	L	
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293. Prop	Property Control -8 Department - Time Sheets & related documents	ACT + 3CY	4CY	ACT + 7CY	Σ	w	z	u ACT + Leave	ACT + = Current Payroll Period. Includes Approved Leave slips, Overtime Slips Physicians Slips
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294.	Property Control -9								
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295.	Property Control - 10 State Form - Daily Vehicle Log Sheet	ACT+ 3CY	PERM	PERM	٩	œ	z	U Prope	ACT += Life of Vehicle and While Data Stored in Property Control Warehouse.
296.	Property Control -11 Department - Vehicle Log Checklist	ACT+3CY	A PER	PERM	۵.	۳	z	U Prope	ACT + = Life of Vehicle and While Data Stored in Property Control Warehouse.
297.	Property Control -12 Department - Daily Vehicle Log Report & Fuelman / Chevron Gas Report	ACT+ 3CY	PER	PERM	٩	×	z	U Prope	ACT + = Life of Vehicle and While Data Stored in Property Control Warehouse.
298.	Property Control -13 Copies of Fuelman Bill and Chevron Bill	ACT+ 3CY	A PER	PERM	۵.	۳	z	U ACT.	ACT + = While Data Stored in Property Control Warehouse.
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Secretary of State, State Archives & Records Services

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300.	Property Control -15 Copies of Maintenance Work Order from Mechanic Shop	ACT+ CY	AFR	PERM	٩	۲	z	U Wareh	ACT + = While Data Stored in Property Control Warehouse.
301.	Property Control -16 Sign Out Sheet for Exxon & Chevron Gas Credit Cards	ACT	1CY	ACT+ 1CY	٩	s	z	U Wareh	ACT + = While Data Stored in Property Control Warehouse.
302.	Property Control -17 Vehicle Master File (Title & Registration & Original Purchase Papers)	ACT		ACT	٩.	w	z		
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ACT + = Until balanced with Inventory Control. Indicate Use of Form ACT + = Until Obsolete or Superseded. ACT + = Until Obsolete or Superseded. ACT + = Until Obsolete or Superseded. X_ORIGINAL SUBMISSION ACT = Until Obsolete or Superseded. Remarks ___REPLACEMENT PAGE Agency Abbreviations: ACT = Active/Current ADDENDUM PAGE RENEWAL Page 57 of 86 Warehouse. Vital Record Identification Code 5 5 > > > State Records Center Use State Records z z z >z ≻ Archival s s s s S s I = Important U= Useful V= Vital Security Y – Yes 9N-N ۵. ۵. ٩ ۵. ٩ ۵ Retention ACT+ 3MO ACT+ 1CY ACT+ 1CY ACT+ 7CY ACT+ 7CY Total ACT **Retention Period** M - May Contain Confidential Information Storage £ O = Other (Specify in Remarks) R - Retain in Agency Archives Louisiana Secretary of State, Division of Archives, Records Management and History Post Office Box 94125, Baton Rouge, LA 70804 A - Transfer to State Archives S - Review by State Archives Archival Processing Codes C - Confidential Information Security Status Codes P - Public Record In Office ACT+ 1CY ACT+ 1CY 4CT+ 3MO ACT+ 7CY ACT+ 7CY ACT Agency No Pinecrest Supports and Services Center / DHH/OCDD Approval Numbers for Warehouse #1 Orders Sheets PSS Safety Meeting Report / Sign In Sheet PSS Connections Self-Directed Study **Records Series Title** ACT - Active Period (when used define term in remarks column) Copies of Pro Card Statement Access Inventory Reports Vendor Receipt Forms Property Control -19 Property Control -20 Property Control -21 Property Control -22 Property Control -24 Property Control -23 Permitted Retention Period Abbreviations FFY - Federal Fiscal Year (Oct 1 - Sept 30) MO-Months WK-Week DY-Day(s) AY - Academic Year (Aug 1 - July 31) Http://www.sos.louisiana.gov CY - Calendar Year (Jan 1 - Dec 31) FY- Fiscal Year (July 1- June 30) PERM - Permanent Item 307. 309. 36 305. 306. 308.

Records Retention Schedule

SS ARC 932 (07/07)

Secretary of State Archives & Records Services Date Approved

Date Signed

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317.	Quality Management Improvement-3 Census Database	ACT		ACT	o	s	z	V ACT=	ACT = Until Obsolete or Superseded.
318.	Quality Management Improvement-4 Department - Computer Back-up Logs	1CY	107	2CY	۰	s	z		
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Page 60 of 86 Å Louisiana Secretary of State, Division of Archives, Records Management and History Post Office Box 94125, Baton Rouge, LA 70804 Http://www.sos.louisiana.gov

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Records Retention Schedule

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Date Signed

Agency Approval

Date Approved

Secretary of State, State Archives & Records Services

SS ARC 932 (07/07)

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Records Retention Schedule

\$\$ ARC 932 (07/07)

Date Signed

Agency Approval

Date Approved

Secretary of State, State Archives & Records Services

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345.	Quality Manugement Improvement-31 Medication Variance Database	ACT		ACT	ပ	w	z	I ACT= I	ACT= Until Obsoletes or superseded.
346.	Quality Management Improvement-32 Medication Variance Database-Community Homes	ACT		ACT	ပ	s	z	I ACT= I	ACT= Until Obsoletes or superseded.
347.	Quality Management Improvement-33 Meeting Attendance Database	ACT	ACT	ACT	Σ	ω	z	U ACT =	ACT = Until obsolete or superseded.
348.	Quality Management Improvement-34 Mortality Review File – Hard Copy Original	ACT	10CY	ACT+ 10CY	U	s	z	ACT =	ACT = Case files remain active until the file is closed by the Mortality Review Committee. (Includes Committee Minutes, Death Certificates, Autopsy Reports, Facility Reports/Memo's and Computer Originals).
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349. Quali Morta	Quality Management Improvement-35 Mortality Review Database	ACT	10CY	ACT+1 0 CY	0	s	z	ACT = C	ACT = Case files remain active until the file is closed by the Mortality Review Committee. (Includes Mortality Chart and Mortality Review Loci
350. Quali Morta	Quality Management Improvement-36 Mortality Review Monthly Report	1CY	9 CY	10CY	U	s	z		
351. Quali OCDI	Quality Management Improviment-37 OCDD Accident/Incident Report Data Form	1CY	зсү	40Y	0	s	z	5	
	Quality Management Improvement-38 OCDD Accident/Incident Report Database	ACT	ACT	ACT	0	s	z	U ACT = Until obsol and Backup Disk.	ACT = Until obsolete or superseded, Includes Database and Backup Disk.
353. Quali	Quality Management Improvement-39				0	s	z	V Includes	Includes Client Specific DA- 3000 only
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Louisiana Secretary of State, Division of Archives, Records Management and History Post Office Box 94125, Baton Rouge, LA 70804 Http://www.sos.louisiane.ovv

Encompasses Annual Evacuation and Sleep drills: Documents include evaluators check sheets, analysis ACT = Until absoletes or superseded. Inter-agency agreements to house during disasters, includes agreements for transportation. Indicate Use of Form Keep records until law suit was settled. _X_ORIGINAL SUBMISSION Includes minutes and all attachments ACT= Until Obsolete or Superseded. ___REPLACEMENT PAGE Remarks Agency Abbreviations: ACT = Active/Current ADDENDUM PAGE Includes sign in sheets. RENEWAL Vital Record Identification Code ∍ > _ -_ State Records Center Use z State Records z z z z z Archival s s Ś ŝ s s I = Important U= Useful Y – Yes V= Vital ۵. 92 - N Security Σ ۵. ۵. ٩. ۵. Retention Total 380 δÇ ACT SC√ Act š M - May Contain Confidential Information **Retention Period** In Storage 27CY ŝ R - Retain in Agency Archives 307 A – Transfer to State Archives S - Review by State Archives Archival Processing Codes C - Confidential Information Security Status Codes P - Public Record In Office 2CY Act °Ç 30, Š ACT Agency No | Pinecrest Supports and Services Center / DHH/OCDD Quality Management Improvement Computers Safety -Cooperative evacuation agreements Q A - Director Correspondence - General Quality Improvement Committee Minutes Quality Management Improvement-45 Quality Management Improvement-46 Quality Management Improvement-41 Quality Management Improvement-42 Quality Management Improvement-43 Quality Management Imrpovement44 ACT – Active Period (when used define term in remarks column). Safety - Asbestos Lawsuit Records **Records Series Title** Safety Committee Minutes Permitted Retention Period Abbreviations FFY - Federal Fiscal Year (Oct 1 - Sept 30) MO - Months WK - Week DY - Day(s) CY - Calendar Year (Jan 1 - Dec 31) AY - Academic Year (Aug 1 - July 31) Http://www.sos.louisiana.gov FY- Fiscal Year (July 1- June 30) Database PERM – Permanent Item 355. 356. 357. 358. 359. 360.

Date Approved

Secretary of State, State Archives & Records Services

Date Signed

Agency Approval

O – Other (Specify in Remarks)

ACT = Until obsoletes or superseded. Stored in locked closet in Safety Office and in a filing cabinet at Dispatch. includes the original cards and work orders for repairs. Manifests for Medical, Chemical and Silver Sludge waste. Indicate Use of Form Date Approved _X_ORIGINAL SUBMISSION correspondence and corrective action ACT = Until obsoletes or superseded. ACT= until obsoletes or superseded Includes hardcopies and database. ___REPLACEMENT PAGE Remarks Agency Abbreviations: ACT = Active/Current ADDENDUM PAGE SS ARC 932 (07/07) RENEWAL of 86 Secretary of State, State Archives & Records Services Page 67 Vital Record Identification Code > _ -_ -State Records Center Use -State Records z z z z z z z Archival s s s s s S s I = Important U= Useful V= Vital Y – Yes Security ۵. N-No o ۵. ۵. ۵. ۵. ۵. **Records Retention Schedule** Retention Total 30CY ACT ç ŞC ACT Š ACT **Retention Period** M - May Contain Confidential Information Storage 20CY Ş O - Other (Specify in Remarks) 5 R - Retain in Agency Archives A - Transfer to State Archives S - Review by State Archives Archival Processing Codes Louisiana Secretary of State, Division of Archives, Records Management and History C - Confidential Information Security Status Codes In Office P - Public Record ₫ ç Date Signed ACT ÅĊT ACT 5CY ŝ Agency No | Pinecrest Supports and Services Center / DHH/OCDD Safety -Employee Incident/Accident database Safety -Material Safety Data Sheets (MSDS) Quality Management Imrprovement-52 Quality Management Improvement-47 Quality Management Improvement-48 Quality Management Improvement-49 Quality Management Improvement-50 Quality Management Improvement-53 Quality Management Improvement-51 Safety -Hazardous Waste Manifests Safety -Health Department Surveys **Records Series Title** ACT - Active Period (when used define term in (gmarks column) Post Office Box 94125, Baton Rouge, LA 70804 Safety -Emergency Recall List Safety -Fire Marshal Surveys Permitted Retention Period Abbreviations FFY - Federal Fiscal Year (Oct 1 - Sept 30) MO - Months VVK - Week DY - Day(s) AY - Academic Year (Aug 1 - July 31) CY - Calendar Year (Jan 1 - Dec 31) Http://www.sos.louisiana.gov Safety Drills FY- Fiscal Year (July 1- June 30) Agency Approval PERM – Permanent Item 367. 361. 362. 363. 364 365. 366.

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Date Approved

Secretary of State, State Archives & Records Services

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447.	Supported Independent Living (SIL-1 Department Daily Time Sheets	107	зсү	4CY	٩	s	z	>	Includes approved leave Slips, Overtime Slips and Doctor Slips.
448.	Supported Independent Living (SIL)-2 Department – Personnel Files	1CY	4CY	ACT + 5CY	۵.	s	z	5	ACT + = While employed + 1 CY, Includes Correspondence.
449.	Supported Independent Living (SIL)-3 Department- Personnel Files / Inactive	2CY	зсү	5 CY	Z	s	z	>	
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Records Retention Schedule

Louisiana Secretary of State, Division of Archives, Records Management and History

SS ARC 932 (07/07)

Date Approved

Secretary of State, State Archives & Records Services

Date Signed

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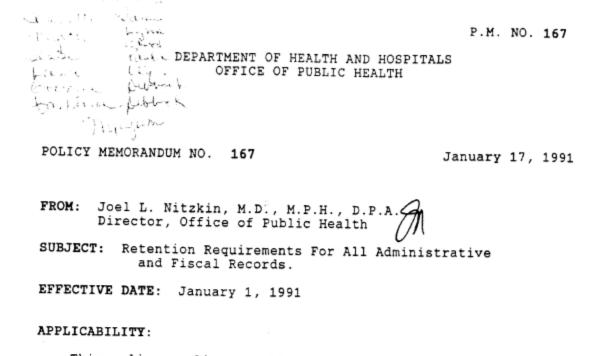
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Attachment K- Public Health

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This policy applies to all records that pertain to administrative and fiscal matters only. This does not apply to medical and vital records.

This policy does not apply to records maintained by contractors when the terms of the contract are in conflict. In such a case, the contract terms apply.

INTRODUCTION:

The State record retention requirements as promulgated by R.S. 44:36, amended January 19, 1983, sets the retention period for preserving public records "at least three (3) years from the date on which the public record was made."

The Federal Government, in accordance with OMB Circular 102, effective October 1, 1988, has the same requirement as to the length of the retention period but the starting date is different. The starting date for the Federal Government is based on the funding or fiscal period and generally "starts on the day the grantee or subgrantee submits to the awarding agency its single or last expenditure report for the period."

Departure from the stated retention periods is necessary since OPH has numerous federal grants and contracts with different fiscal years that overlap the State fiscal year.

Additionally, only an original or copy (photocopy, microfilm 3200) or similar methods) of a record must be maintained to meet

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the above referenced legal requirements.

Since many of the same reports and forms are processed by several different sections of the Agency, the **primary** responsibility for retaining and preserving a record should be assigned to an organizational unit based on its function and the TYPE and/or NATURE of the record processed

TYPE of record refers to:

- Reports
 - FACS forms
 - Federal Grant Applications
 - State forms (Personnel, Accounting, Budget, Purchasing, Property Control, etc..)

ETC....

The NATURE of a record is determined by its use which is classified into two categories:

- TRANSACTIONAL Records that create and document a specific task and generally require processing in accordance with a formal procedure. These records, in most cases, are the various personnel, fiscal, budget, purchasing, property control, inventory, etc...forms and reports.
- INFORMATIONAL Records that provide information that is used to:
 - facilitate executive or administrative action,
 - b) support a transactional record,
 - c) update existing data or information.

Usually, these records include reports, memos, and other correspondence.

POLICY:

RETENTION PERIOD:

The retention period for all administrative and fiscal records is:

FOUR (4) COMPLETE FISCAL YEARS

NOTE: If the Agency implements the collection of

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Medicare Funds, all records pertinent to the Medicare Cost Reports must be kept for a period of SIX (6) YEARS.

DESTROY

Example of the Four (4) year requirement:

		DESTROY
FISCAL	YEAR	ON OR AFTER
07/01/85 -	06/30/86	07/01/90
07/01/86 -	06/30/87	07/01/91
07/01/87 -	06/30/88	07/01/92
	ETC	

If the preservation and retention of a specific record has been identified to an organizational unit, which is addressed later in this policy, then other units of the Agency, after processing that record, must maintain a copy for:

ONE (1) COMPLETE FISCAL YEAR

Example:

			D 20 2 20 2 20 0 2
FISCA	L	YEAR	ON OR BEFORE
07/01/88	-	06/30/89	07/01/90
07/01/89	-	06/30/90	07/01/91
		ETC	

If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the stated retention periods, the records must be maintained until the completion of the action or until the end of the regular four (4) year period, whichever is later.

RESPONSIBILITY FOR PRESERVATION AND RETENTION OF RECORDS:

As a general rule, for all TRANSACTIONAL records, the unit that is responsible for the final disposition of the record shall have the responsibility of its preservation and retention. Final disposition means the last step in processing the record to effect its purpose.

Since INFORMATIONAL records vary in subject matter,

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the assignment of responsibility for maintenance is difficult. However, some general guidelines apply:

- The originator of a record (correspondence, or report) should maintain the record unless otherwise covered herein or it supports a transactional record and is attached to a form upon processing.
- Correspondence or reports related to a specific function (Fiscal; Budget; Personnel; Purchasing; Legal; Payroll; Property Control; etc..) are the responsibility of the organizational unit to which it is related.
- Records with historical significance currently being maintained by a unit should not be destroyed. Some examples of these records are:
 - a) Correspondence with Parish Officials
 - b) Annual Budget Requests
 - c) Annual Financial Reports and Audits
 - d) Annual Public Health Plans
- If the record crosses functional areas, it should be maintained by each organizational unit affected.

The following units have the responsibility for maintaining the related listed records (but are not limited to these records) for the four year retention period:

BUDGET AND MANAGEMENT:

- All Budget related reports, correspondence and forms.
- All contracts, leases, and other written agreements along with the related correspondence.
- All consumable supply inventory reports along with the supporting documentation.
- All documents originating from OPH related to the coordination and monitoring of the purchasing function with DHH and the State

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Purchasing Office.

DATA PROCESSING:

- All User Requests and related follow-up communications.
- 2. All data entry related documents.
- All correspondence related to DHH Computer Center interface.
- All documentation related to D/P Operations Control Procedures

FISCAL SERVICES:

- All Receiving Reports (FACS 100, 102 and 100S), Petty Cash Expenditure Summaries (FACS 1003), Petty Cash Receipts (FACS 1002) and all supporting documentation.
- All invoices, postage request letters, Travel Authorizations, Travel Expense Statements, LHS-39's and Supplemental Receiving Reports along with all supporting documentation.
- FACS Appropriation, Cost Center, Organizational, Project Expenditure Reports and related transaction reports.
- All bank statements (except Petty Cash accounts), deposit slips, Deposit Summaries, Transmittal Sheets and Account Authorizations.
- All Federal Grant Awards (not the applications) and the related fiscal reports along with any supporting workpapers.
- All financial audit reports and related correspondence.
- All financial reports prepared by the Fiscal Section along with any supporting workpapers.

HUMAN RESOURCES:

- 1. All records related to the following:
 - a) Personnel Actions
 - b) Disciplinary Actions

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INFORMATION SYSTEMS:

- 1. All records related to the following:
 - a) Outside computer services
 - b) Micro-computer standards and policies
 - c) Hardware and software inventory
 - d) DHH-OIS interface.

OPERATIONS & SUPPORT:

- 1. All records related to the following:
 - Building Maintenance
 - b) Hill-Burton Certification
 - c) Insurance Coverage
 - d) Safety Program
 - e) Property Inventory/Control
 - f) Coordination of Telecommunications Equipment and Service
 - g) Travel Policy
 - h) Vehicle Control & Maintenance

PAYROLL (DHH):

- Time and Attendance Reports (excludes the Time Allocation Worksheets)
- Leave Registers
- Individual Employee Payroll Files (SF-1's, deductions authorizations, W-2's, W-4's. etc.)

POLICY, PLANNING & EVALUATION:

- All records related to the following:
 - a) Federal grant consultation,
 - coordination and review
 - b) Legislative and Rulemaking coordination
 - c) Public Health Plan
 - d) Policy and Procedure Issuance

PURCHASING (DHH):

All records related to the following:

 a) All purchasing documents, except
 FACS 100-S, for contract orders,
 Purchase Orders, Release Orders, etc.

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PARISH HEALTH UNITS:

- All records related to revenue collections which include fees, insurance recoveries, and Medicaid billings,
- All "Dailies" and Time Allocation Worksheets along with the corresponding Variable Time and Attendance forms,
- All receipt books,
- All personnel records not forwarded to the Human Resources Section (OPH),
- Petty Cash Bank Account records, which include the bank statements, canceled checks, deposit slips, debit memos and any related correspondence,
- 6. PHU Revenue Collection Bank Account records,
- All inventory records for both movable property and consumable supplies that support information forwarded to the Central Office.

PHARMACY :

- Prescription files for programs serviced,
- AC-23 Forms for all items requisitioned from the pharmacy inventory,
- Computer FACS printouts and all related

records for the Drugs and Medical Supplies Inventory,

- Statistics concerning prescription counts and AC-23 lines filled, by project; including raw data,
- 5. Computer manifests of UPS shipping activity.

- ³ Pg. 8 of 8 P.M. No. 167
 - PROGRAM ADMINISTRATORS:
 - All grant applications and supporting documentation
 - All records related to the issuance of permits, licences and certificates
 - All records related to inspections, audits or other review functions related to the requirements of the program.
 - All records related to the testing of samples
 - All programmatic reports generated by or for the program staff

It shall be incumbent of the unit manager to maintain those records that are routinely accessed for a time period that is necessary to promote expediency and prudent processing of any information needed. In addition, if it is in the best interest of the State to maintain a record for more than the retention periods stated herein, then the records should be maintained until such time that the custodian of such record determines it to be useless.

Microfilming and off-site storage are options that are available to resolve any space problems. These options are only available to the extent that funds are available.

INQUIRIES:

All inquiries may be directed to:

Claude J. Carbo Deputy Assistant Secretary, Administration 325 Loyola Ave. Rm. 518 P.O. Box 60630 New Orleans, La. 70160 Ph. No. 504-568-5038 LINC. 621-5038 FAX -2609

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Attachment L- Villa Feliciana Medical Complex

Secretary of State, State Archives & Records Services

Date Approved

Date Signed

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1.17 ù Records Retention Date Approved Secretary of State, State Archives & Records Services

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13	Bureau of Protective Service Files / Abuse & Neglect	SCY		SCY				Shred	
44	Resident Accident / Incident Report	Active +5CY		Active +5CY				Active	Active+ Until final Judgment or dismissal
15	Departmental Quality Management Reports / Plans / Evaluations	707		707				Shred	
16	Centers for Medicare Services Abstraction Transmission, Validation Files, Warehouse Files	SCY		ξCY				Shred	
Permitted Ret	Permitted Retention Period Abbreviations	Security Status Codes	Codes	Sta	tte Rec	State Records Center	onter	Agency	Agency Abbreviations
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		O – Other (Specify in Remarks)	y in Remarks)	5	U= Useful				

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17	Medical Records	Active +6	annage	Active					
ę		months		+10CY	-	_		•	Active = while resident; Shred
2	Master Patient Index	Permanent		Permanent					
19	Discharged and Death Register	Permanent		Permanent		-			
20	Admission Registry	Permanent		Permanent				+-	
21	Disease, Procedure and Physician Indices	Permanent		Permanent					
22	Monthly Census	Permanent		Permanent					
23	Daily Census Reports	1CY	90.Y	10CY	+			0	Shrad
24	Admission Referral Log Sheets	7CY		7CY	-	-		0.	Shred
25	Disclosure of Protected Health Information Tracking forms	7CY		7CY				0 0	Shred
26	Disclosure Log Sheets with Authorization	7CY		707				5	Shred
nitted Ret – Active F Fiscal Year Calendar	Permitted Retention Period Abbreviations ACT – Active Period (when used define term in remarks column) FY- Fiscal Year (July 1- June 30) CY – Calendar Year (Jan 1 – Dec 31)	Security Status Codes P - Public Record M - May Contain Confid	Security Status Codes P - Public Record M - May Contain Confidential Information		State Records Center Use Y – Yes N - Mo	scords	Center	Š	Agency Abbreviations
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FFY - Federal Fisca MO - Months WK - PERM - Permanent	FFY - Federal Fiscal Year (Oct 1 - Sept 30) MO - Months WK - Week DY - Day(s) PERM - Permanent	Archival Proc A – Transfer tr R – Retain in <i>J</i> S – Review by	Archival Processing Codes A – Transfer to State Archives R – Retain in Agency Archives S – Review by State Archives		Vital Record Identification Code V= Vital I = Important	ation C	ode		
		O - Other / Sou	O - Other (Scoolin in Deve day)	_	Useful	-		-	

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27	Employee Health Records	Permanent		Permanent				-	
28	Tuberculosis Skin Test	30CY		30CY				Shred	pe
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Date Approved Secretary of State, State Archives & Records Services

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29	Training Schedule	1CY	3CY	4CY				Shred
30	Test Results	1CY	3CY	4CY		-	-	Shred
31	Training Report	10.4	3CY	4CY		-	-	Shred
32	Employee Training Records	1CY	3CY	4CY		-	-	Shred
33	Class Sign-In Sheet	107	3CY	4CY				Shred
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34	Group Benefits Invoices	70CY		70CY	0	۳	z	-	
35	Disclosures of Outside Employment	3CY		3CY	Σ	۲	z	5	
36	Vacancy & Promotional Announcements, Certificates of Eligibles, SF-9's, Applications	3CY		3CY	Σ	~	z	>	
37	FMLA	Active +5CY		Active +5CY	0	۲	z	-	Active= Until Closed
38	CS Job Studies	SCY		SCY	•	۲	z	∍	
39	CS Audit Files	SCY		SCY	۵.	۳	z	5	
40	Job Descriptions	Active +5CY		Active +5CY	٩	œ	z	5	Active=Until End of the CV #'s Abolished
41	Life Insurance by OGB	Active +5CY		Active +5CY	0	œ	z	-	Active=Until Separation
42	Life Insurance not covered by OFB	Active +70CY		Active +70CY	0	۲	z	-	Active=Until Separation
43	Supervisors File	Active +2CY		Active +2CY	Σ	œ	z	=	Active=Until Supervision Ends
ermitted Ret CT – Active P Y- Fiscal Year	Permitted Retention Period Abbreviations ACT – Active Period (when used define term in remarks column) FV- Fiscal Year (July 1- June 30)	Security Status Codes P - Public Record	Codes		State Re Use	cords	State Records Center Use	,	Agency Abbreviations
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44	Fire Drills	1CY	3CY	4CY				Shred
45	Safety Meeting Reports	tcY	3CY	4CY				Shred
46	Fire Alarm Checks	1CY	3CY	4CY	_			Shred
47	Building Inspections	1CY	3CY	4CY			-	Shred
48	Safety/Education Meeting Reports	1CY	3CY	4CY				Shred
49	Fall Prevention Meeting Reports	1CY	3CY	4CY				Shred
50	Visitor Accident Reports	Active + 1CY	3CY	Active + 4CY			-	Active = until final judgment or resolution ; shred
51	Investigation Reports	1CY	3CY	4CY				Shred
52	Drivers License Records	tcY	1CV	1CY		1		Shred
53	Internal Disaster Reports	1CY	зсү	4CY				Shred
Permitted Retentio ACT – Active Period FY- Fiscal Year (Jul) CY – Calendar Year AY – Academic Yea FFY – Federal Fisca MO – Months WK – PERM – Permanent	Permitted Retention Period Abbreviations ACT - Active Period (when used define term in remarks column) FY- Fiscal Year (July 1- June 30) CY - Calendar Year (Jan 1 - Dec 31) AY - Academic Year (Jug 1 - July 31) FFY - Federal Fiscal Year (Oct 1 - Sept 30) MO - Months WK - Week DY - Day(s) PERM - Permanent	Security Status Codes P - Public Record M - May Contain Confidential Information C - Confidential Information Archival Processing Codes A - Transfer to State Archives R - Retain in Agency Archives S - Review by State Archives	Codes d Confidential II niformation sing Codes incy Archives ate Archives		State Records Center Use Y – Yes N - No Vital Record Identification Code V = Important	ords Ce ion Coo	e nter	Agency Abbreviations
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54	Fire Watch Reports	1CY	зсY	4CY				Shred		
55	Office of Risk Management Audits	1CY	3CY	4CY	_					
56	Fire Alarm inspection Reports	107	3CY	4CY						
57	Fire Sprinkler Inspection Reports	1CV	3CY	4CY						
58	Hood Suppression System Inspection	tcY	ЭСҮ	4CY						
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69	Employee Vehicle Registration	Active + 1CY		Active +1CY				Activ	Active= Life of Vehicle
60	Car Key Log	Active + 1CY		7CY				Shred	pe
61	Building Key Log	Active + 1CY		7CY				Shred	pe
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Records Retention Schedule Louisiana Secretary of State, Division of Archives, Records Management and History Post Office Box 94125, Baton Review 1 A 70804

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62	Social Services Resident Record	Active	10CY	Active +10CV				Active = while resident; Send to Medical Records at
63	Visitor's Log	2CY	1CY	3CY		-		Active = while resident: Shred
64	Interdisciplinary Staffing List	2CY	1CY	3CY		+	-	Shred
65	Social Services Hours Monthly Report	2CY	1CY	3CY		-		Shred
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67	State Fire Marshall Inspection	Permanent		Permanent			+		
68	Blue Prints	Permanent		Permanent			-		1
69	Equipment Records	Active	Active	Active +1CY			+	Active =Life of Equipment	T
20	Vehicle Maintenance Records	Active	Active	Active +1CY			- a	Active = Life of Vehicle	
1	Generator Logs	Active	Active	Active +1CY				Active = Life of Equipment	T
72	Water Treatment logs	Active	Active	Active +1CY			+		
73	Water Temperature Logs	Active	Active	Active +1CY		-			
74	Gas Meter Logs	Active	Active	Active +1CY					1
75	Oxidation Log / Monitor	Active	Active	Active +1CY			+		
76	Maintenance Work Orders	Active	Active	Active +1CY					
Permitted Retentio ACT – Active Period FY- Fiscal Year (Jul) CY – Calendar Year AY – Academic Yeas AY – Federal Fisca MO – Months WK – PERM – Permanent	Permitted Retention Period Abbreviations ACT – Active Period (when used define term in remarks column) FY-Fiscal Year (July 1- June 30) CY – Calendar Year (Jan 1 – Dec 31) AY – Academic Year (Jag 1 – July 31) FFY – Federal Fiscal Year (Oct 1 – Sept 30) MO – Months WK – Week DY - Day(s) PERM – Permanent	Security Status Codes P - Public Record M - May Contain Confidential Information C - Confidential Information Archival Processing Codes A - Transfer to State Archives R - Retain in Agency Archives S - Review by State Archives O - Other (Specify in Remarks)	Codes Confidential I Confidential I Information sing Codes ate Archives ncy Archives ate Archives y in Remarks)		State Records Ceni Use Y – Yes N - No Vital Record Identification Code V= Vital I = Important U= Useful	State Records Center Use Y – Yes N - No Vital Record dentification Code Vertral U = Useful	4	Agency Abbreviations	

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1	Schedules	1CY		1CY				Shred	
78	Verification of Nursing License	1CY		1CY			+	Shreet	
79	Gulf Coast Pharmaceutical Specialty Pharmacists' License	1CY		1CY				Shred	
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Attachment M- Central Louisiana State Hospital

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22	Budget Records	ACT	6FY	ACT+6FY	Σ	Ľ	z	-	
23	Audit Records	6FY	6FY	ACT+6FY	0	۲	z	>	
24	Safety Meetings	ACT	SFY	ACT+5FY	Σ	~	z	-	
25	Fire Drils	SFY	5FY	SFY	<u>م</u>	~	z	>	
26	Employee/Visitor Accidents	5FY	SFY	SFY	Σ	<u>α</u>	z	>	
27	Fire Marshal Inspections	PERM	PERM	PERM	٩	α.	z	-	
28	Office of Risk Management Audits	SFY	5FY	5FΥ	۵.	~	z	Þ	
29	Driving Records	ACT		ACT	Σ	ď	z	-	
30	Property Claims, Vehicle Accidents	10FY	10FY	10FY	Σ	œ	z	>	
ed Retu ctive P al Year lendar ademic	Permitted Retention Period Abbreviations ACT – Active Period (when used define term in remarks column) FY- Fiscal Year (July 1- June 30) CY – Calendar Year (Jan 1 – Dec 31) AY – Academic Year (Jan 1 – July 31)	Security Status Codes P - Public Record M - May Contain Confidential Information C - Confidential Information	Codes Confidential In Information		State Re Use Y - Yes N - No	ecord	State Records Center Use Y – Yes N - No	_	Agency Abbreviations
FFY - Federal Fisca MO - Months WK - PERM - Permanent	FFY - Federal Fiscal Year (Oct 1 - Sept 30) MO - Months WK - Week DY - Day(s) PERM - Permanent	Archival Processing Codes A - Transfer to State Archives R - Retain in Agency Archives S - Review by State Archives O - Other (Specify in Remarks)	sing Codes ate Archives ncy Archives ate Archives y in Remarks)		Vital Record Identification V= Vital I = Important U= Useful	Vital Record Identification Code V= Vital I = Important U= Useful	Code		

Secretary of State, State Archives & Records Services Date Approved

Date Signed

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Agency No	Agency / Division / Section				-				Y ODIGINAL SUDMISSION
	Central La. State Hospital						s		
Item Number	Records Series Title	Å	Retention Period	iod	ţλ	le,	Record		REPLACEMENT PAGE ADDENDUM PAGE
		In Office	In Storage	Total Retention	Secur	vitionA	etste l Genter	IstiV	Remarks
31	Sprinkler Inspections	δFY	5FY	SFY	۵.	۲	z	>	
32	Directives from State Office (Administrative)	6FY	6FY	6FY	٩	۲	z	>	
33	Licensing Information	6FΥ	6FY	6FY	٩	œ	z	>	
34	Memorandums	6FY	6FY	6FY	Σ	Ľ	z	>	
35	In-Service Training Records	6FY	6FY	6FY	z	۲	z	5	
36	Annual Reports	6FY	6FY	6FY	٩	×	z	>	
37	Cooperative Agreements	6FY	6FY	6FY	٩	œ	z	>	
38	Reports on Program Activities	6FY	6FY	6FY	٩	œ	z	>	
39	Affirmative Action Plans	6FY	6FY	6FY	s	۳	z	>	
40	Correspondence	6FY	6FY	6FY	٩.	۲	z	-	
itted Ret - Active P Iscal Year Calendar	Permitted Retention Period Abbreviations ACT – Active Period (when used define term in remarks column) FY- Fiscal Year (July 1- June 30) CY – Calendar Year (Jan 1 – Dec 31)	Security Status Codes P – Public Record M – May Contain Confidential Information C – Confidential Information	Codes Confidential In formation		State Records Center Use Y – Yes N - No	ords	enter	1	Agency Abbreviations
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Secretary of State, State Archives & Records Services Date Approved

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Louisiana Secretary of State, Division of Archives, Records Management and History Post Office Box 94125 Baton Routes 1 & 70804

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Date Approved

Secretary of State, State Archives & Records Services

Date Signed

		Fax:22592212	220	May 14 2004	8:59 P.UI	
MAR-10-2004 1	4:06	CENTRAL LA STAT	E HOSPITAL		318 484 6851	P.0
	DIVISION		LOUISIANA Y OF STATE DS MANAGEMEN		REQUEST FOR AUTH TO DISPOSE OF RECO SS ARC 930 (R 10/00)	ORITY
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Tine Derbonne,	C.P.A.	DM TO CONFER		(318) 484-8343	MBER WITH AREA COD	
l hereby cer and that the rec	rtify that I am a	Representative; uthorized to act for the he in this List or Schedule ar	ad of this agency e proposed for dis	in matters pertaining posal for the reason	to the disposal of reconnicated:	ds
a provide state						
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R-10	-2004 14:06	CENTRAL LA STATE HOSPITAL	· · · · ·	318 484 6851
		-		210 404 0021
	6. Inclusive Dates	7. Description of Records		
	Prior to 6 FY	List Records Series Title if Records A.	ppeur on Agency Re	tention Schedule)
	E1993	Accounting Records:		
	1410	Accounting Records including copies of	Eth.rd-narty hillings	to Madiana
		Medicaid, and private insurance compar	niel: ineligible paries	of fee reports, ladars
		cards on closed-out clients; direct servic	C lickets: travel extended	the renormer
		requisitions; purchase orders; invoices; bank statements and reconciliation report	contractor time-shee	ts; receiving reports;
		exclusive listing and may include other	tonins as appropriate	hers. I has is not an
	Instituce.	Contracts:	-	
	Prior to 10 FY		=	
1	FY94	Contracts and supporting documentation	which includes pro-	fessional and social
		service contracts and related correspond	enc e.	
	Prior to 6 FY	Budget Records:	-1	
	FY98			
	-	Budget requests, including workpapers a	nd backup documen	tation.
	Prior to 6 FY	Audit Reports:		
	FU98			
		Reports from internal and external auditor State Legislative Auditors.	ors including DHH	internal Auditors and
			-	
	INACTIVE + FUNL	Medical Records (Inpatient and Outpa	tijint)	
	The HAR		_	
	Prior to 6 FY	Directives from State Office	-	
1.	1440			
- 1'	Prior to 6 FY FU98	Licensing Information		
1	PROT TO 6 FY FU 95	Survey Information		
	Prince of the star		-	
1	Prior to 6 FY PU98	Memorandums	-	
1	Prior to 6 FY FY98	Inservice Training Records	-	
١.	Prior to 6 FY Fy 98	4		
1	Morto or 1970	Annual Reports	-	1
1 1	Prior to 6 FX FY98	Cooperative agreements with other age	ericies	
			-	
1	Martoorr Pyrc	Reports on program activities		
P	rior to 6 FY FY98	Affirmative Action Plans		
		State Vehicle Information		
P	rior to 6 FY FY98	Admissions Books (including those listi admission)	n'ss of the patient's	name and date of
			a -	
P	rior to 6 FY FU 98	Correspondence		
			~	
P	rior to 6 FY 1490	Other miscellaneous administrative for	zi'is	

1AR-1	LA 303 10-2004 14:0	97	CENTRAL LA STATE HOSPITAL	May 14 2004	318 484 6851
			Payroll Records:	N	
	Prior to 5 FY	FY 99	Time and attendance records; leave form documents; daily attendance sheets; and	adjustment-sheets.	id overtime approva)
	Prior to 5 CY	0499	W-2's	:	
	Prior to 3 FY	RIO	Workers' Compensation Files		
	Prior to 2 FY	Fyoz	Applications for Employment (EEOC)) [
	Prior to 2 FY	PYOZ	Promotional Announcements (EEOC)	-	
	Prior to 2 FY	Fije	Layoff Records (EEOC)		
	Prior to 3 FY	FUOl	Verification of employment authorization of the second sec	tion required by In	nmigration Reform
		•			
				··	
			Inactive = When patient is no longer und FY = Fiscal Years (July to June)	ier breatment.	
			CY = Calendar Year (Jan. to Dec.)	-	
				· . •	