

RECORDS RETENTION AND DISPOSITION SCHEDULE
AMENDMENT AND NAME CHANGE

DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF FACILITY SERVICES
ADULT CARE LICENSURE SECTION

Amend the records retention and disposition schedule approved January 30, 1998 by changing the disposition instructions for Items 3493, 7683, 7685, 7686, 7843, 7844, and 41081 as shown on substitute page dated February 19, 2001.

IN ADDITION, an organizational name change to this Records Retention and Disposition Schedule is hereby approved. The Records Retention and Disposition Schedule reflects an organizational change from the

DIVISION OF FACILITY SERVICES
GROUP CARE LICENSURE SECTION

to

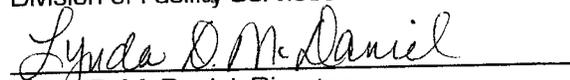
DIVISION OF FACILITY SERVICES
ADULT CARE LICENSURE SECTION

Items 3493, 7683, 7685, 7686, 7843, 7844, and 41081 have been changed, as indicated above. No additional items have been added, no items have been deleted, and no other changes have been made to any existing series descriptions or disposition instructions in the most recent schedule dated January 30, 1998.

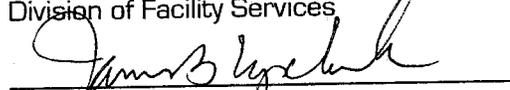
APPROVAL RECOMMENDED

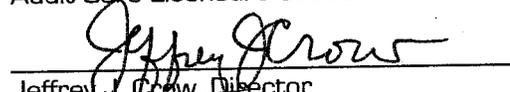

Gloria Byng, Chief Records Officer
Department of Health and Human Services


Robert J. Fitzgerald, Deputy Director
Division of Facility Services


Lynda D. McDaniel, Director
Division of Facility Services


Paul Pennell, Records Officer
Division of Facility Services


James B. Upchurch, Chief
Adult Care Licensure Section


Jeffrey J. Crow, Director
Division of Archives and History

APPROVED


Carmen Hooker Buell, Secretary
Department of Health and Human Services


Lisbeth C. Evans, Secretary
Department of Cultural Resources

February 19, 2001

AWH

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF HEALTH SERVICE REGULATION
ADULT CARE LICENSURE SECTION**

ITEM 1738. LICENSED FACILITIES FILE.

Initial applications for facilities license. File includes floor plans, supervisor in charge applications, approval letters, inspection reports, medical reports, accident reports, annual evaluation by the county Department of Social Services, licensing letters, and other related records. File also includes forms documenting surveyor notes, draft copies of survey report forms, and other workpapers generated as part of the survey; and registered complaints, investigation notes and reports, medical information, recommendations for administrative action, statements of deficiencies, and other related records. (Comply with Chapter 42, 401.126 of the Code of Federal Regulations (CFR) regarding confidentiality of health status of individual medicaid recipients.) (Information entered into Licensed Facilities Database (Electronic) File (Item 7680).) Amended 8-13-03

DISPOSITION INSTRUCTIONS: Transfer initial applications when facility closes to Closed Facilities File (Item 1739). Transfer remaining records to the State Records Center after 3 years. Records will be held for agency in the State Records Center 6 additional years and then destroyed.

ITEM 1739. CLOSED FACILITIES FILE.

Initial applications for facilities that have closed.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 1 year(s). Records will be held for agency in the State Records Center 3 additional years and then destroyed.

ITEM 2112. POPULATION REPORTS FILE.

Reports received annually from licensed family care homes, group homes, and homes for the aged listing number of residents in each home. (Information entered into Licensed Facilities Database (Electronic) File (Item 7680).) (Printouts can be furnished from electronic file upon request.)

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 7677. ADMINISTRATIVE COUNTY FILE.

Records concerning professional associations, Division of Social Services, Management by Objective, and statistical reports on Homes for the Aging. File includes reference copies of statutes and legal information pertaining to programs administered by the Group Care Licensure Section. File also includes correspondence and memorandums regarding facilities.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 7680. LICENSED FACILITIES DATABASE (ELECTRONIC) FILE.

Machine readable records concerning licensed facilities. Electronic file includes drafts of fire reports, sanitation dates, inspection dates, license numbers and dates, site addresses, mailing addresses if different from site, population reports, and other related data. (Electronic database systems are connected via a local area network (LAN).) Electronic files on hard drives of the LAN are backed routinely to magnetic tapes.

DISPOSITION INSTRUCTIONS: Retain in office electronic file permanently. Agency representative will update electronic file routinely.

ITEM 7682. PENDING FACILITIES FILE.

Records concerning facilities applying for licenses. File includes applications, ownership data, correspondence hand drawn maps, blueprints, and other related records. (Information entered into Licensed Facilities Database (Electronic) File (Item 7680).)

DISPOSITION INSTRUCTIONS: Transfer to Licensed Facilities File (Item 1738) when license is issued. Destroy in office remaining records after 1 year for facilities not licensed if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF HEALTH SERVICE REGULATION
ADULT CARE LICENSURE SECTION**

ITEM 7843. GENERAL ADMINISTRATIVE FILE.

Correspondence, memorandums, reports, manual and standards, and other information used in the administration of the Adult Foster Care Program. Amended 2-19-01

DISPOSITION INSTRUCTIONS: Records transferred to Mental Health Licensure and Certification Section.

ITEM 7846. OFFICE ADMINISTRATION FILE.

Records and materials created and accumulated in the performance of routine tasks and the administration of secondary office programs and responsibilities.

DISPOSITION INSTRUCTIONS: Records transferred to Administrative County File (Item 7677).