



Cabinet for Health and Family Services

# Department for Behavioral Health, Developmental and Intellectual Disabilities

Records Retention Schedule

Prepared by the State Records Branch  
Archives and Records Management Division  
Approved by the State Libraries, Archives, and Records Commission



Kentucky Department for Libraries and Archives

This records retention schedule governs retention and disposal of records created, used, and maintained by this agency. **Government records in Kentucky can only be disposed of with the approval of the State Libraries, Archives, and Records Commission (the Commission). If records do not appear on a Commission-approved records retention schedule, agencies should not destroy those records.** This agency-specific schedule was drafted by agency personnel and Archives and Records Management Division staff and reviewed and approved by the Commission. This schedule provides the legal authority for this agency to destroy the records listed, after the appropriate retention periods have passed.

Agency personnel should use this agency-specific schedule in combination with the *General Schedule for State Agencies (General Schedule)*, also approved by the Commission. The *General Schedule* applies to records that are created, used, and maintained by staff at all or most state agencies. Agency-specific retention schedules are used only by specific agencies and apply to records that are created only by a particular state agency, or to records that a state agency is required to retain longer than the approved time period on the *General Schedule*. The *General Schedule* and agency-specific retention schedule should cover all records for this agency.

This retention schedule applies to state agency records and information regardless of how it is created or stored. For example, information created and sent using e-mail is as much a public record as materials created or maintained in paper. Kentucky law defines public records, in part, as "documentary materials, *regardless of physical form or characteristics*, which are prepared, owned, used, in the possession of or retained by a public agency" (KRS 171.410[1]). This means that records management standards and principles apply to all forms of recorded information, from creation to final disposition, regardless of the medium. Records retention scheduling is important in developing, using, and managing computer systems and other electronic devices. Records management practices encourage cost-effective use of electronic media through accurate retention scheduling and legal destruction of records.

**All state government employees are responsible for maintaining records according to the retention schedule, whether those records are stored electronically or in paper. Information must be accessible to the appropriate parties until all legal, fiscal, and administrative retention periods are met, regardless of the records storage medium.**

### **Audits and Legal Action**

Agency records may be subject to fiscal, compliance or procedural audit. If an agency should maintain records longer than the approved retention period, as may be the case with some federal audits, then all affected records should be retained until the audit has been completed and the retention period met. In no case should records that are subject to audit be destroyed until the audit has been completed and retention periods met, or the records have been officially exempt from any audit requirements.

Records may also be involved in legal or investigative actions, such as lawsuits, administrative hearings, or open records matters. These records must be retained at least until all legal or investigative matters have concluded, regardless of retention period. This includes all appeals of lawsuits.

### **Vital Records**

Vital records are essential to the continued functioning of an agency during and after an emergency. Vital records are also essential to the protection of the rights and interests of an

agency and of the individuals for whose rights and interests it has a responsibility. Vital records are identified in the retention schedule with a (V).

### **Confidential Records**

While all records created, used, and maintained by government agency personnel are public records, not all of those records are open to public inspection. Whether a record is open to public inspection is determined by the state's Open Records laws and other relevant state or federal statutes and regulations. Restriction of public inspection of confidential records may apply to the whole record or only to certain information contained in the record.

Kentucky's public records are considered open for public inspection unless there is some specific law or regulation that exempts them. Agency personnel who believe certain records are confidential should submit a citation from Kentucky Revised Statutes, Administrative Regulations, Code of Federal Regulations, or similar authority. **State agency heads have the responsibility to know all the appropriate confidentiality laws, statutes and regulations that apply to the records maintained by their agency and to see that those laws are enforced.** Even though a record series may or may not be marked confidential on a retention schedule, contradictory laws or regulations that are passed after the schedule has been approved must be honored.

### **Copies of Records**

Agency personnel often make copies of records for internal use or reference purposes. Agencies should designate one copy as the official copy and make sure it is retained according to the records retention schedule. Agencies can destroy all other copies when no longer useful.

### **Updating the Retention Schedule**

Per 725 KAR 1:010, the head of each state government agency is required to designate a member of his or her staff to serve as a records officer. The agency records officer represents that agency in its records-related work with the Archives and Records Management Division. The agency records officer is responsible for assisting the Archives and Records Management Division in drafting a records retention schedule, and in finding any schedule updates to bring before the Commission. The retention schedule should be reviewed on a regular basis to suggest appropriate changes to the Commission.

**Cabinet for Health and Family Services**  
**Department for Behavioral, Health Developmental and Intellectual Disabilities**

The mission of the Department for Behavioral, Health Developmental and Intellectual Disabilities is to provide leadership, in partnership with others, to prevent disability, build resilience in individuals and their communities, and facilitate recovery for people whose lives have been affected by mental illness, intellectual disability or other developmental disability, or substance abuse.

The department is authorized by KRS 194A.030, and is headed by a Commissioner. The department contains three divisions: Administration and Financial Management, Behavioral Health, and Developmental and Intellectual Disabilities. The department also operates several inpatient facilities that provide psychiatric, rehabilitative and nursing care services to its clients.

RECORDS RETENTION SCHEDULE

Signature Page

Dept. for Behavioral Health, Developmental and Intellectual Disabilities

Agency

March 8, 2012

Schedule Date

Unit

Change Date

March 8, 2012

Date Approved By Commission

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APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:

[Signature]
Agency Head

[Signature]
Date of Approval

Bradley L. Popp
Agency Records Officer

3/14/12
Date of Approval

Barbara Tye
State Archivist and Records Administrator
Director, Public Records Division

3/8/2012
Date of Approval

Wayne Oubert
Chairman, State Archives and Records Commission

3/8/2012
Date of Approval

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The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:

Fam Compton
Records Analyst/Regional Administrator

03/08/2012
Date of Approval

Jim Lytle
Appraisal Archivist

3/27/12
Date of Approval

[Signature]
State/Local Records Branch Manager

3/8/2012
Date of Approval

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The determination as set forth meets with my approval.

Brian Lykins
Auditor of Public Accounts

3/8/2012
Date of Approval

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Series	Records Title and Description	Function and Use
04994	<b>Driving Under the Influence Referral Form</b>	This series documents referrals to a public or private entity approved by the Department to deliver assessment, education or treatment services to a client convicted of DUI (driving under the influence of alcohol or other drugs in violation of KRS 189A.010). The form is initiated by the assessment center, upon receipt of an order of the court. Information from the series is used by the Department to monitor the more than one hundred (100) programs across the state. Periodic inspections of the programs by the Department are also conducted.
	<b>Access Restrictions</b>	908 KAR 1:310 Section 3 (7)
	<b>Contents</b>	Series may contain: Date, name, address, telephone number; Social Security Number and driver license number of offender. Section to be completed by the program includes 1) whether the person appeared for assessment; 2) person enrolled and is scheduled for 3) person referred for specific services; referral comments; program code; program address; case management information; and a section to be completed by the education treatment program
	<b>Retention and Disposition</b>	Retain in Agency five (5) years. Transfer to the State Records Center for five (5) years, then destroy. Total retention is ten (10) years.
05327	<b>Client Application File</b>	This series documents the approval of services from the Interagency Mobilization for Progress in Adolescent and Child Treatment (IMPACT) Plus Program pursuant to KRS 205.642 and the regulations promulgated thereto. The program serves children from birth to twenty one (21) years of age who are severely emotionally disturbed or who have specific mental health conditions. It is a program of community-based behavioral health services provided through an agreement between the Department for Behavioral Health, Development and Intellectual Disabilities and the Department for Public Health. The children require two (2) or more services to help them avoid institutionalization. The program is funded by Medicaid and the services are provided through a network of IMPACT Plus approved providers. Service plans and requests for services reflect the progress and needs of the children being served and the authority to provide the services.
	<b>Access Restrictions</b>	KRS 194A.060 and 907 KAR 3:030E, Section 7, 9
	<b>Contents</b>	Series may contain: Psychological examinations; medical records; application, commitment papers; therapy notes; correspondence; requests and approvals/denials for services; goals and objectives; plans of care; and freedom of choice forms
	<b>Retention and Disposition</b>	Retain in Agency five (5) years. Transfer to the State Records Center for five (5) years. Destroy after audit. Total retention is ten (10) years or after audit, whichever is longer.
05339	<b>Remittance Advice File</b>	This series documents the notice sent to providers, under the Interagency Mobilization for Progress in Adolescent and Child Treatment (IMPACT) Plus Program, to advise them of the charges that were paid, those that are pending, and those that have been adjusted or denied. The IMPACT Plus Program serves persons from birth to twenty one (21) years who are severely emotionally disturbed or who have specific mental health conditions. The children require two (2) or more services to help them avoid institutionalization. The program is funded by Medicaid and the services are provided through a network of IMPACT Plus approved providers.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Provider number; batch run date; remittance advice number; recipient's last name, recipient's Medicaid identification number; transaction control number for identification of individual claims; service code; service modifier code; number of units reimbursed; approved dates for services; billed charges; claim payment amount; and an explanation of benefits code.
	<b>Retention and Disposition</b>	Retain in Agency five (5) years. Transfer to the State Records Center for five (5) years. Destroy after audit. Total retention is ten (10) years or after audit, whichever is longer.

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>05483</b>	<b>Claims - IMPACT Plus</b>	This series documents claims against the Interagency Mobilization for Progress in Adolescent and Child Treatment (IMPACT) Plus Program by sub-providers. The information is used to generate site review reports and cumulative claim dates on approved and denied claims, to properly manage the program as a whole and to monitor specific sub-providers.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Claimant's name; nature of claim; amount of claim; approved or denied
	<b>Retention and Disposition</b>	Retain in Agency, then destroy after six (6) years or audit, whichever is longer.
<b>05484</b>	<b>Subprovider Employee File - IMPACT Plus</b>	This series documents efforts on the part of the Interagency Mobilization for Progress in Adolescent and Child Treatment (IMPACT) Plus Program to ensure that its subproviders are hiring qualified, competent employees.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Subproviders' employees' applications, resumes, licensure information, criminal background checks, academic transcripts.
	<b>Retention and Disposition</b>	Retain in Agency, then destroy after six (6) years or audit, whichever is longer.
<b>05485</b>	<b>Site and Billing Review Files - IMPACT Plus</b>	This series documents reviews of subproviders conducted by Interagency Mobilization for Progress in Adolescent and Child Treatment (IMPACT) Plus staff. Reviews are conducted of client files and subprovider billing practices.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Subprovider billing and client information, reviewer notes, official reports, corrective action plan
	<b>Retention and Disposition</b>	Retain in Agency, then destroy after six (6) years or audit, whichever is longer.
<b>05489</b>	<b>Client Files - Driving Under the Influence Program (V)</b>	This series represents files maintained on clients of the Driving Under the Influence (DUI) Program. Per KRS 189A.040(6), the DUI Program is responsible for monitoring and regulating the statewide network of more than one hundred (100) Driving Under the Influence (DUI) programs licensed and certified to provide alcohol and other drug assessments, education and treatment services to persons convicted of DUI. Clients complete the program in two (2) years.
	<b>Access Restrictions</b>	KRS 194A.060; 42 CFR
	<b>Contents</b>	Series may contain: Documentation of: patient evaluation; program progress and completion or non-completion; and correspondence.
	<b>Retention and Disposition</b>	Retain in Agency three (3) years. Transfer to State Records Center for three (3) years, then destroy. Total retention is six (6) years.
<b>05490</b>	<b>Program Files - Revoked (DUI)</b>	This series documents complaints against and actions taken to discipline individual licensed Driving Under the Influence (DUI) programs by the Mental Health and Substance Abuse Division's DUI Program. Per KRS 189A.040(6), the DUI Program is responsible for monitoring and regulating the statewide network of more than one hundred (100) DUI programs licensed and certified to provide alcohol and other drug assessments, education and treatment services to persons convicted of DUI.
	<b>Access Restrictions</b>	KRS 194A.060; 42 CFR; 908 KAR 1:310
	<b>Contents</b>	Series may contain: Application, complaints, correspondence, reports
	<b>Retention and Disposition</b>	Retain in Agency three (3) years. Transfer to State Records Center for five (5) years, then destroy. Total retention is eight (8) years.

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>05491</b>	<b>Consumer Involvement Fund File</b>	The Consumer Involvement Fund provides financial assistance to persons with disabilities, their families and guardians to attend conferences and short-term educational programs, up to three hundred fifty dollars (\$350.00) per person for in-state and one thousand five hundred dollars per person for out-of-state per fiscal year. Individuals submit applications, which are used as the basis for distribution of funds. After the conference or program, the attendee completes an outcomes form and receives reimbursement.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Application, amount awarded, outcomes form; financial documentation, correspondence
	<b>Retention and Disposition</b>	Retain in Agency three (3) years. Transfer to State Records Center for five (5) years. Destroy after audit. Total retention is eight (8) years or after audit, whichever is longer.
<b>06244</b>	<b>Occupational Therapy Daily Progress Reports</b>	This series documents the progress each patient makes with Occupational Therapy sessions while under psychiatric care.
	<b>Access Restrictions</b>	KRS 194A.060 & 194A.065, 200 KAR 1:020, KRS 61.870
	<b>Contents</b>	Series may contain: Patient's name and medical information, Doctors and Therapists' notes, progress notes, medications given and type of therapy given.
	<b>Retention and Disposition</b>	Retain in Agency and transfer to Patient's Master Medical Folder (Series 06245) after therapy is complete or patient is discharged from the facility. Series 06245 is retained permanently.
<b>06245</b>	<b>Patient's Master Medical Records Folder</b>	This series contains any and all documentation of a patient's stay and treatment.
	<b>Access Restrictions</b>	(C) KRS 194A.060
	<b>Contents</b>	Series may contain: Name of patient, patient number, date and time of admission, name and address of admitting facility, treating physician, patient room assignment, activity therapies, admission history, admission papers, audiological evaluation, autopsy report, burial transit permit, Chaplain reports, consents and authorizations, consultations, dental reports, ECT, EEG, EKG, graphic records, integrated treatment plan, interdisciplinary team staffing, laboratory reports, language and speech evaluation, leave slips, medication report, nursing reports, occupational therapy report, other legal documents, other special forms (height, weight, menstrual, seizure, immunizations, restraint, seclusion, patient index card, addressograph plate), patient's rights, patient work card, physical examinations, physician report, preadmission history, progress notes, psychiatric medical reports, referral unit index, rehabilitation report, request and evaluation, social service reports, summary of hospitalization, TPR (temperature), pulse, and respiration), x-ray report, any and all documentation of patient's stay and treatment.
	<b>Retention and Disposition</b>	Retain in Agency for five (5) years after discharge. Transfer to State Records Center for permanent retention.
<b>06246</b>	<b>Personnel Health Record (V)</b>	This series documents the medical history of employees of Cabinet for Health and Family Services, Department for Behavioral Health, Development and Intellectual Disabilities as required by 902 KAR 20:300, 056 and 016. This information is maintained separately from the personnel file in a secured filing location.
	<b>Access Restrictions</b>	KRS 61.878(1)(a)
	<b>Contents</b>	Series may contain: Employee name, date of birth, employee I.D. number or Social Security Number, address; place of employment and medical history.
	<b>Retention and Disposition</b>	Retain in Agency and destroy two (2) years after termination of employment.



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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06247</b>	<b>Patient's Records of Personal Belongings</b>	This series documents any belongings a patient has upon admission. A log is created to list and identify all items (clothing, purse, wallet, items to go in their room, etc). This record is signed off by the guardian of the patient. Any additional items brought in are entered on the log before the patient receives them. The log ensures that all items follow the patient when moved to another unit of the facility or upon discharge.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series may contain: Patient's name, ID number, dates; list of items, signature of patient guardian or of the giver of item.
	<b>Retention and Disposition</b>	Retain in Agency and transfer to Discharge Summaries (Series 06248) at the appropriate time. Series 06248 has a ten (10) year retention period.
<b>06248</b>	<b>Discharge Summaries</b>	This series documents information on patient at the time of discharge.
	<b>Access Restrictions</b>	KRS 61.878(1)(a)
	<b>Contents</b>	Series may contain: Patient name, date of birth; date of discharge; date of admittance; medications list; referral list; personal belongings log; name and location of where patient discharged to and which Community Based Program patient must report.
	<b>Retention and Disposition</b>	Retain in Agency ten (10) years, then destroy.
<b>06249</b>	<b>Sharps Instrument List Record</b>	This series documents the accountability of every sharp in the facilities' possession, including used and unused sharps. Sharps are needles, scissors, scalpels, razors or other sharp instruments used for patient care procedures.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series may contain: Date; number of unused sharps at beginning of each work shift, number of unused sharps at end of each work shift; number of sharps used during the work shift and request for additional sharps, requestor name and time and reason for request.
	<b>Retention and Disposition</b>	Retain in Agency six (6) months, then destroy.
<b>06250</b>	<b>Patient Card</b>	This series documents information on a patient while admitted to hospital.
	<b>Access Restrictions</b>	KRS 61.878(1)(a)
	<b>Contents</b>	Series may contain: Name of patient; patient number; location on ward; attending physician; name of Social Worker; and date of admittance
	<b>Retention and Disposition</b>	Retain in Agency five (5) years, then destroy
<b>06251</b>	<b>Dental Health Record</b>	This series documents all dental treatment received by patients.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Patient's name, Dentist's name and notes, date seen, treatment given.
	<b>Retention and Disposition</b>	Retain in Agency and transfer to Patient's Master Folder (Series 06245) after discharge. Series 06245 has a permanent retention.

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06252</b>	<b>Card File on Denture Patients</b>	This record serves as a quick reference to all patients who have dentures.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Patient's name, when received dentures, and any problems.
	<b>Retention and Disposition</b>	Retain in Agency and destroy after patient is discharged.
<b>06253</b>	<b>Behavioral Health, Development and Intellectual Disabilities Cost Reports (V)</b>	This series documents reports of all services billed to Medicaid and Medicare, monies received, and information reported to both Federal and State agencies.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Date(s); name of patient; hospital; attending physician; costs related to medications, hospital stay, care; date of admittance and discharge; agencies involved that received information.
	<b>Retention and Disposition</b>	Retain in Agency ten (10) years, then destroy.
<b>06254</b>	<b>Insurance Policy Records - Patient</b>	This series documents services billed to a patient's personal insurance policy and funds received.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Patient name and number; admitting hospital and address; dates, account total balance; billing received from insurance; remaining balance.
	<b>Retention and Disposition</b>	Retain in Agency five (5) years, then destroy.
<b>06255</b>	<b>Guardian and Patients Funds Ledgers</b>	This series documents a patient's personal spending account, including monies deposited into the account and withdrawn amounts.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Patient's name, Social Security Number, personal account information, date and amount of money deposited, date and amount of money withdrawn and by whom (patient or guardian).
	<b>Retention and Disposition</b>	Retain in Agency three (3) years. Transfer to Records Center for five (5) years. Destroy after audit. Total retention is eight (8) years or after audit, whichever is longer.
<b>06256</b>	<b>Facility Maintenance Control Reports</b>	This series documents reports of all inspections and adjustments made to equipment to insure air quality and temperature control is maintained.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series may contain: Name of facility; dates and times inspected and name of inspector; air quality and temperature; and adjustments made, if applicable.
	<b>Retention and Disposition</b>	Retain in Agency five (5) years, then destroy.

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Series	Records Title and Description	Function and Use
06257	<b>Autoclave Usage Log (V)</b>	This series documents the usage of the autoclave by a dental employee, required maintenance of the unit, and sterilization issues.
	<b>Access Restrictions</b>	
	<b>Contents</b>	Series may contain: Dates, times and employee used autoclave; dates, times and who performed required maintenance, including any other maintenance that is performed or needed; sterilization issues.
	<b>Retention and Disposition</b>	Retain in Agency five (5) years, then destroy.
06258	<b>X-Ray Films</b>	This series documents the original photographic x-ray film and the report of the reading by the radiologist.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: X-ray films; patient's name, date of birth, patient number; radiologist name and report; date of x-ray; date of report
	<b>Retention and Disposition</b>	Retain in Agency five (5) years after individual is no longer a patient, then destroy.
06259	<b>X-Ray Reports</b>	This series documents the original report reading by the radiologist.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Name, date of birth, patient number of patient; date of report; radiologist name and findings
	<b>Retention and Disposition</b>	Retain in Agency and transfer to Patient's Master Folder (Series 06245) after discharge. Series 06245 has a permanent retention.
06260	<b>Radiation Reports on Individual Employees</b>	This series documents the report each and every time an employee is exposed to radiation during the course of their employment.
	<b>Access Restrictions</b>	KRS 61.878(1)(a)
	<b>Contents</b>	Series may contain: Name of employee; employee ID number; name and location of employment; date, time, type of exposure; radiologist findings.
	<b>Retention and Disposition</b>	Retain in Agency and destroy (1) one year after termination of employment.
06261	<b>Day Sheets</b>	This series documents the daily log of all patient/employee contact, the patient's condition, activities, and medical status.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Name and ID number of patient; facility; dates and times of observation or condition of patient; name of employee; type of contact; condition of patient; activity participation observation.
	<b>Retention and Disposition</b>	Retain in Agency two (2) years, then destroy.

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06262</b>	<b>Narcotics Dispensed Inventory</b>	This series documents all narcotics given to patients at a facility.
	<b>Access Restrictions</b>	201 KAR 2:170 and KRS 194A.060
	<b>Contents</b>	Series may contain: Patient's name, name and dose of narcotic, date and time given, prescribing Doctor, name of attendant who dispensed it.
	<b>Retention and Disposition</b>	Retain in Agency six (6) years, then destroy.
<b>06263</b>	<b>Annual Pharmacy Controlled Substances Inventory</b>	This record is a detailed list of all controlled substances ordered, housed, and dispensed.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series may contain: Drug name, purchase date, dispensed date and dosage, expiration date, amount discarded
	<b>Retention and Disposition</b>	Retain in Agency two (2) years, then destroy.
<b>06264</b>	<b>Prescriptions for Medicine</b>	This record documents patient prescriptions written by doctors.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Patient name and unit they are in, drug name and dosage prescribed, prescribing Doctor's name
	<b>Retention and Disposition</b>	Retain in Agency six (6) years, then destroy.
<b>06265</b>	<b>Nursing Unit Drugs Dispensed Log (Abuse Drugs Administered)</b>	This record is a listing of all drugs that are kept in the Unit for fast access in case there is a medical emergency and the drugs need to be given immediately. It is updated at the beginning and ending of each shift.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Patient name, drug name and dosage, dispensing Nurse's name, medical reason for giving drug
	<b>Retention and Disposition</b>	Retain in Agency six (6) years, then destroy.
<b>06266</b>	<b>Ledger Book for Drugs Dispensed and Monies Received</b>	This series documents payments received for medication dispensed by Pharmacy, quantity dispensed and the amount billed.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Types of medication dispensed; patient name and ID number, dates, amount, and billing amount
	<b>Retention and Disposition</b>	Retain in Agency, then destroy after five (5) years or audit, whichever is longer.

**STATE ARCHIVES AND RECORDS COMMISSION**  
**Archives and Records Management Division**  
**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS**  
**RETENTION SCHEDULE**

Health and Family Services, Cabinet for  
 Behavioral Health, Development and Intellectual Disabilities, Department for **Record Group**  
**Number**  
**1441**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06267</b>	<b>Drug Requisitions from Wards and Centers</b>	This series documents non-formulary and non-prescription drugs by charge nurses for specific patient distribution.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Patient name and number; amount requested; date, time and amount given
	<b>Retention and Disposition</b>	Retain in Agency five (5) years, then destroy.
<b>06268</b>	<b>Death Register (V)</b>	This series documents all patients who expired while committed to a facility contracted with the Cabinet for Health and Family Services, Department for Behavioral Health, Development and Intellectual Disabilities.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series may contain: Date and time of death; Patient name and ID number, cause of death, location where body was transferred
	<b>Retention and Disposition</b>	Retain permanently in Agency
<b>06269</b>	<b>Admission Register</b>	This series documents Admission Registers that are created to keep a current log of patients admitted to the State's mental health hospitals. These registers are a requirement of the licensing and regulation authority.
	<b>Access Restrictions</b>	KRS 210.235, KRS 194A.060, KRS 219 and KRS 235
	<b>Contents</b>	Series may contain: Patient's name, address, Social Security Number, admittance date
	<b>Retention and Disposition</b>	Retain in Agency five (5) years, then transfer to State Records Center for permanent retention.
<b>06270</b>	<b>Daily Population Report of Patient Movement</b>	This series documents a patient's location at a Department for Behavioral Health, Development and Intellectual Disabilities Intensive Care Facility Home as defined in 902 KAR 20:031. It includes documenting information on the transfer of a patient to another facility, if applicable.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Patient's name, address of the Intensive Care Facility Home, room assignment number; date of admission; and if applicable, date and reason for transfer.
	<b>Retention and Disposition</b>	Retain in Agency one (1) year, then destroy
<b>06271</b>	<b>Daily Intensive Care Home Facility Log of All Residents</b>	This series documents the log of all residents within the Department of Behavioral Health, Development and Intellectual Disabilities Intensive Care Facility Home as defined by 902 KAR 20:031 and their daily activity. It includes treatment from staff, diet intake, body functions, mental and physical condition, and any problems or incidents.
	<b>Access Restrictions</b>	KRS 194A.060, 194A.065, 61.870, 200 KAR 1:020
	<b>Contents</b>	Series may contain: Patient's name, location and address of the Intensive Care Facility Home, and all daily functions - physical, mental, and social.
	<b>Retention and Disposition</b>	Retain in Agency two (2) years. Transfer to State Records Center for three (3) years, then destroy. Total retention is five (5) years.

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06272</b>	<b>Daily Shift Supervisor's Report (Oakwood 88-6-11-1)</b>	This series documents information regarding each cottage, which has three (3) shifts and a supervisor on each shift. That supervisor is responsible for logging everything that takes place in that cottage during their shift - any changes in residents' daily routine or behavior, any problems with staff or residents, documented account of all incidents, any changes in residents' medical status.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Resident's name, daily account of resident's physical and mental status.
	<b>Retention and Disposition</b>	Retain in Agency two (2) years. Transfer to State Records Center for three (3) years, then destroy. Total retention is five (5) years.
<b>06273</b>	<b>Psychological Test Workbooks</b>	This series documents psychological testing given to patients to assist in diagnoses. Once testing is completed and a summarization has been completed by the Psychologist the findings are documented in Patients Master Medical Files (series 06245).
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Patient name and ID number; date and time of testing; Psychologist; and summarization of findings.
	<b>Retention and Disposition</b>	Retain in Agency and destroy two (2) years after summarization is documented in Patient's Master Medical Record (Series 06245). Series 06245 has a permanent retention.
<b>06274</b>	<b>Monthly Food Cost</b>	This series documents the food order, delivery sheet, and invoice. The information is used to determine the cost of food and a census of the most economical vendors.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series may contain: Delivery sheet, invoices, signatures
	<b>Retention and Disposition</b>	Retain in Agency, then destroy after three (3) years or audit, whichever is longer.
<b>06275</b>	<b>Monthly Diet Orders</b>	This series documents special dietary needs of the patients. It's updated whenever there is a change in the patient's dietary status.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Name of patient, unit they are in, diet needs, Doctor who issued the diet, any diet changes, special requests, snack requests, food consistency.
	<b>Retention and Disposition</b>	Retain in Agency and destroy after patient is discharged.
<b>06276</b>	<b>Visitor's Permit and Sign-In Sheet</b>	This series documents all visitors to the facility, allows an accurate account of all additional people that are in the facility at any given time and acts as a safety measure for the protection of the patients.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Date, time, visitor's name and section they are visiting, purpose of visit, patient's name.
	<b>Retention and Disposition</b>	Retain in Agency two (2) years, then destroy.

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>06277</b>	<b>Security Daily Log and Parking Permit Registration</b>	This series documents the log of all persons entering the facility, all visitor's parking permits issued, and any incidents that happen while the person is on the facility grounds.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Visitor's name, license plate number, make & model of vehicle, arrival and departure time, person visited, any incidents that happen.
	<b>Retention and Disposition</b>	Retain in Agency two (2) years, then destroy.
<b>06278</b>	<b>Social Security Patients Benefit Cards</b>	CLOSED: Series has not been used since June 2006 but retention has not been met.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	
	<b>Retention and Disposition</b>	Retain in Agency ten (10) years, then destroy.
<b>06282</b>	<b>Training Manuals</b>	This series documents the training manuals/employees' instructional materials used by the Cabinet for Health and Family Services, Department of Behavioral Health, Development and Intellectual Disabilities as approved by federal and state entities, including but not limited to: U.S. Department of Health and Human Services and Americans With Disabilities Act.
	<b>Access Restrictions</b>	
	<b>Contents</b>	Series may contain: Title of manual or instructional material; subject matter relevant to the course; and reference materials.
	<b>Retention and Disposition</b>	Retain in Agency fifty (50) years, then destroy.
<b>06285</b>	<b>Program Performance Reports</b>	This series documents information collected from the performance of the many programs administered by Kentucky Developmental Disabilities Council. This data is the means of analyzing and evaluating the many programs KDDC administers and plays a major role in what services should and should not be provided.
	<b>Access Restrictions</b>	KRS 194A.060
	<b>Contents</b>	Series may contain: Clients' personal information from specific program; program summary; evaluation summary
	<b>Retention and Disposition</b>	Retain in Agency five (5) years. Transfer to Records Center for ten (10) years, then destroy. Total retention is fifteen (15) years.

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# *Electronic System With Included Records Series*

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## **Cabinet for Health and Family Services**

### *Department for Behavioral Health, Developmental and Intellectual Disabilities*

***System Description:*** The Siemens MedSeries 4/ QuadraMed system is used by all Department for Behavioral Health, Developmental and Intellectual Disabilities facilities to manage their patient demographics, admissions, discharges and transfers, pharmacy inventory management and medication distribution, charges and billing claims management, accounts receivable, medical records diagnosis coding and abstracting.

***System Contents:*** System modules include:  
Admission/Discharge/Transfer (ADT)  
Medical Records Coding and Abstracting (MIRA)  
Accounts Receivable (AR)  
Pharmacy Inventory and Distribution  
Billing and Claims Management (Editor)

Output records include patient demographic data, census reports, charge data, electronic claim processing, accounts receivable records, pharmacy inventory and billing reports, ad hoc reports.

All entries to the system are made by authorized facility staff. File maintenance, updates, testing are managed by central office staff and contractors.

### ***General Schedule Items:***

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***System Title:*** Siemens MedSeries 4 / QuadraMed

***Alternate Title:*** SMS

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***Series #:*** ***Series Title:***

06244 Occupational Therapy Daily Progress Reports

***Disposition Instructions:***

Retain in Agency and transfer to Patient's Master Medical Folder (Series 06245) after therapy is complete or patient is discharged from the facility. Series 06245 is retained permanently.



<b>Series #:</b>	<b>Series Title:</b>	<b>Disposition Instructions:</b>
06245	Patient's Master Medical Records Folder	Retain in Agency for five (5) years after discharge. Transitory and duplicate materials may be screened and destroyed prior to storage or transfer. Transfer to State Records Center for ten (10) years. After the ten (10) years, transfer to State Archives Center for permanent retention.
06246	Personnel Health Record	Retain in Agency and destroy after termination of employment.
06248	Discharge Summaries	Retain in Agency ten (10) years, then destroy.
06251	Dental Health Record	Retain in Agency and transfer to Patient's Master Folder (Series 06245) after discharge. Series 06245 has a permanent retention.
06252	Card File on Denture Patients	Retain in Agency and destroy after patient is discharged.
06253	Behavioral Health, Development and Intellectual Disabilities Cost Reports	Retain in Agency ten (10) years, then destroy.
06254	Insurance Policy Records - Patient	Retain in Agency five (5) years, then destroy.
06259	X-Ray Reports	Retain in Agency and transfer to Patient's Master Folder (Series 06245) after discharge. Series 06245 has a permanent retention.
06261	Day Sheets	Retain in Agency two (2) years, then destroy.
06264	Prescriptions for Medicine	Retain in Agency six (6) years, then destroy.
06265	Nursing Unit Drugs Dispensed Log	Retain in Agency six (6) years, then destroy.
06268	Death Register	Retain permanently in Agency
06269	Admission Register	Retain in Agency five (5) years, then transfer to State Records Center for permanent retention.
06273	Psychological Test Workbooks	Retain in Agency and destroy two (2) years after summarization is documented in Patient's Master Medical Record (Series 06245). Series 06245 has a permanent retention.
06275	Monthly Diet Orders	Retain in Agency and destroy after patient is discharged.