



Agency Records Disposition Schedule

Department: Department of Health & Senior Services

Section: Section for Health Standards & Licensure

Division: Regulation & Licensure

Sub-Section: Bureau of Hospital Standards

TITLE: Certification Supporting Documentation

CUTOFF: Survey exit date

DESCRIPTION: Documents created by bureau staff during course of federal certification, or validation surveys. Records include but are not limited to survey notes and copies of facility records to determine compliance for certification surveys. These records are used to determine whether or not a hospital is in compliance with applicable rules and regulations and to create any statement of deficiencies that result from the survey. The Federal Center for Medicare and Medicaid services contracts with the Section for Health Standards and Licensure to conduct certification surveys for hospitals that participate in the Medicare and Medicaid program.

RETENTION: Years: 1 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 23992

SERIES STATUS: Approved

APPROVAL DATE:

11/13/2013

TITLE: CMS Certification and Licensure Records - Never Approved

CUTOFF: End of calendar year in which application process ends

DESCRIPTION: Application records submitted by potential facilities that never achieve licensure status or Centers for Medicare and Medicaid Services (CMS) certification due to denial of the request or to the applicant's withdrawal from the application process. Records include, but are not limited to application forms, organizational charts, construction or remodeling plans, federal certification (855A) forms, letters of intent, application support documents, and related correspondence.

RETENTION: Years: 2 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 24056

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015



Agency Records Disposition Schedule

Department: Department of Health & Senior Services

Section: Section for Health Standards & Licensure

Division: Regulation & Licensure

Sub-Section: Bureau of Hospital Standards

TITLE: Complaint Investigation Supporting Documentation

CUTOFF: End of calendar year of final action

DESCRIPTION: Documents created by bureau staff during complaint investigations. Records include but are not limited to investigation notes and copies of facility records to investigate the complaint and determine compliance with federal and/or state requirements. These notes are used to determine whether or not a hospital is in compliance with applicable rules and regulations and to create any statement of deficiencies that result from the investigation.

RETENTION: Years: 1 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 23990

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015

TITLE: Complaint Investigations

CUTOFF: End of calendar year of final action

DESCRIPTION: Documents created by bureau staff during complaint investigations of hospitals. Records include, but are not limited to, investigation summaries, correspondence, statement of deficiencies, plans of correction, patient and staff rosters, and all documentation specifically related to the Employee Disqualification List referral process. Records maintained per Disposition Authority: NC1-440-79-1/75/23/2B7.

RETENTION: Years: 5 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 23989

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015



Agency Records Disposition Schedule

Department: Department of Health & Senior Services

Section: Section for Health Standards & Licensure

Division: Regulation & Licensure

Sub-Section: Bureau of Hospital Standards

TITLE: Hospital Certification Files Medicare

CUTOFF: Survey exit date

DESCRIPTION: Records created by bureau staff during the course of Federal certification surveys of hospitals to ensure compliance with the Federal Center for Medicare Services. Records include, but are not limited to, statements of deficiencies and plans of correction, correspondence, facility inspection reports, Medicare/Medicaid applications, sample selection, staff and patient rosters, Life Safety Code book, Life Safety Code crucial data extracts, construction fact sheets. Records are maintained per Disposition Authority: N1-440-95-1, Item 9b2b.

RETENTION: Years: 4 Months: 0 Days: 0

NOTES: Maintain the two most-recent certification actions at all times.

DISPOSITION ACTION: Destroy

SERIES: 7670

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015

TITLE: Hospital Certification Files Medicare - Original Applications for Eligibility

CUTOFF: EOFFY in which participation in Medicare and Medicaid end

DESCRIPTION: Original applications for participation in the Medicare and Medicaid program. The application is submitted by the facility applying to participate in either program. The application includes, but may not be limited to Federal Form 855, Office of Civil Rights packet, Center for Medicare Services Form 1561 Health Insurance Benefit Agreement, and the Health and Human Services Form 690 Assurance of Compliance.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES: Copies are kept at facilities.

DISPOSITION ACTION: Destroy

SERIES: 7669

SERIES STATUS: Approved

APPROVAL DATE:

11/13/2013



Agency Records Disposition Schedule

Department: Department of Health & Senior Services

Section: Section for Health Standards & Licensure

Division: Regulation & Licensure

Sub-Section: Bureau of Hospital Standards

TITLE: Hospital Design and Construction Inspection Records

CUTOFF: End of calendar year of survey compliance

DESCRIPTION: Documents created by Bureau staff during survey (inspection) for construction, physical plant, and fire safety compliance. Records include, but are not limited to inspection summaries, correspondence, statements of deficiencies, plans of correction, survey notes, and facility records to demonstrate compliance with 19 CSR 30-20.030 Construction Standards for New Hospitals and 19 CSR 30-20.108 Fire Safety, General Safety and Operating Features.

RETENTION: Years: 5 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 24055

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015

TITLE: Hospital Licensing Files

CUTOFF: EOSFY in which hospital closes

DESCRIPTION: Records include, but are not limited to applications, licenses, letters, bed count sheets, accreditation reports, organizational charts, infectious waste generator form applications, licensure surveys, plans of correction, bed change forms and notifications of CEO changes. Records are used to confirm licensure, and continued compliance of a hospital.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Permanent - Transfer to Missouri State Archives

SERIES: 7668

SERIES STATUS: Approved

APPROVAL DATE:

11/13/2013

TITLE: Hospital Nursing Information

CUTOFF: WSO

DESCRIPTION: Nursing Staffing Plans are submitted to the Bureau of Hospital Standards annually in order to meet state licensure requirements. Records include, but are not limited to, staffing schedules and policies and procedures for staffing plans.

RETENTION: Years: 5 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 7691

SERIES STATUS: Approved

APPROVAL DATE:

11/13/2013



Agency Records Disposition Schedule

Department: Department of Health & Senior Services

Section: Section for Health Standards & Licensure

Division: Regulation & Licensure

Sub-Section: Bureau of Hospital Standards

TITLE: Hospital Standards Exception Documentation

CUTOFF: End of state fiscal year

DESCRIPTION: Records contain exception requests submitted by hospitals. Records include but are not limited to correspondence, supporting documents, and final written approval or denial. Documentation is used to track denials and approvals of exception requests.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 23991

SERIES STATUS: Approved

APPROVAL DATE:

11/13/2013

TITLE: Life Safety Code Information

CUTOFF: End of state fiscal year

DESCRIPTION: Records include the Center for Medicare Services 2786 R Fire Safety Survey Report and the 2000 Code-Health. Appendix I of the State Operations Manual requires that this form be completed to document the compliance or non-compliance of the facility with the requirements of the Life Safety Code. Compliance is required for continued participation in Medicare.

RETENTION: Years: 6 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 7679

SERIES STATUS: Approved

APPROVAL DATE:

11/13/2013

TITLE: Stroke or ST-Elevated Myocardial Infarction Certifications

CUTOFF: Date of certification

DESCRIPTION: Records include, but are not limited to applications, checklists, fail letters, approval letters, review team reports and plans of correction. This information is submitted by hospitals annually for certification.

RETENTION: Years: 5 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 23993

SERIES STATUS: Approved

APPROVAL DATE:

11/13/2013



Agency Records Disposition Schedule

Department: Department of Health & Senior Services

Section: Section for Health Standards & Licensure

Division: Regulation & Licensure

Sub-Section: Bureau of Hospital Standards

TITLE: Trauma Center Certifications

CUTOFF: Date of certification

DESCRIPTION: Records include, but are not limited to applications, review documents, equipment checklists, staffing credentials, response times, review team reports, designation letters, letters of deficiencies, plans of correction, credentialing documents, change of management notifications and change of medical director letters.

RETENTION: Years: 5 Months: 0 Days: 0

NOTES: This information is submitted by trauma centers annually for certification.

DISPOSITION ACTION: Destroy

SERIES: 23994

SERIES STATUS: Approved

APPROVAL DATE:

11/13/2013
