

# State of Nevada Approved Records Retention and Disposition Schedule

Health Division: Bureau of Health Care Quality and Compliance

Schedule ID # 550804

Version Date: 12/11/2019

This version supersedes all previous versions.

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## 2006063 Child Care Facility License Applications - Incomplete or Withdrawn

Description: This record series documents the application process for licenses in accordance with NRS 432A.141 that were withdrawn or otherwise incomplete. The files may include, but are not limited to: Application with associated documentation including educational transcripts; Criminal background information and investigation documentation (NRS 432A.170 to 432A.175); Related correspondence.

Retention: Retain these records for a period of one (1) calendar year from the date withdrawn or from the expiration of the validity period of the application.

Disposition: Destroy Securely

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## 2006064 Child Care Facility License Applications Complaint Files

Description: This record series documents complaints and investigations concerning facilities in accordance with NRS 432A.190 to 432A.220 and NAC 432A.230. The files may contain, but are not limited to: Complaint documentation; Investigation reports with supporting documentation; Related correspondence.

Retention: Retain these records for a period of three (3) calendar years from the close of the case.

Disposition: Destroy Securely

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## 2004114 CLIA Federal Database

Description: This electronic records series is used in the administration of the certification, survey and compliance monitoring functions, and federal reporting requirements, concerning medical laboratories. These databases are maintained by the Centers for Medicare and Medicaid Services (CMS). These databases include: CLIA (Clinical Laboratories Improvement Amendments), Oscar (Online Survey Certification and Reporting System) and Odie (Online Data Input and Edit). Data may include information from "Medicare/Medicaid Certification and Transmittal" form, Request for Certification form, "Statement of Deficiencies and Plan of Correction" form, "Crucial Data Extract" (CDE), "Post-Certification Revisit Report" and other data.

Retention: Update this database as needed, retaining data for a period of three (3) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy

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## 2004115 CLIA Federal Lab Certification Files

Description: This records series is used in the administration of the certification, survey and compliance monitoring functions concerning medical laboratories in accordance with 42 U.S.C. § 263a "Clinical Laboratories Improvement Act" [also known as "Clinical Laboratories Improvement Amendments"], 42 CFR Part 488 and 42 CFR Part 493. The files may include, but are not limited to: Application with associated documentation; "Medicare/Medicaid Certification Transmittal" form; "Clinical Lab Survey Report" form; "SOD/POC or Revisit Report" (Statement of Deficiency and Plan of Corrective Action); "Survey Team Composition & Workload Report"; "Ownership Disclosure"; "Lab Personnel Report"; Estimated test volume; Blood Bank Inspection Checklist; CLIA Certificate; Proficiency Testing Enrollment Confirmation; Related correspondence.

Retention: Retain this record series for a period of four (4) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy

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## 2004151 CLIA Federal Lab Certification Files: Adverse Actions

Description: This records series is used in documenting adverse actions (such as reprimands, censure, probation, suspensions or revocations) concerning medical laboratories in accordance with 42 U.S.C. § 1396r-2 "Information concerning sanctions taken by State licensing authorities against health care practitioners and providers." The files may include, but are not limited to: Investigative reports with supportive documentation; Hearing documents (notification of hearing, minutes of hearings, etc.); CMS (Centers for Medicare and Medicaid Services) reports & documents; Related correspondence.

Retention: Retain this record series for a period of fifteen (15) calendar years from the end of the calendar year in which the adverse action was concluded.

Disposition: Destroy Securely

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## 2004123 Complaint Files: Medical Labs

Description: This record series documents the processing of complaints against a Medicare, Medicaid or CLIA (Clinical Laboratories Improvement Amendments) participating program received pursuant to NRS 449.150 (2), 42 U.S.C. § 1396r-2 and the Centers for Medicare and Medicaid Services (CMS) State Operating Manual (SOM) Chapter 5. The files may contain, but are not limited to: Complaints and supportive records; Investigation documents; Statement of deficiencies, certification of noncompliance, plan of correction, etc.; Related correspondence.

Retention: Retain these records for a period of four (4) years from the end of the date the complaint was "closed" and a copy of all required documentation placed in the Facility Certification file. See Centers for Medicare & Medicaid Services (CMS) State Operations Manual (SOM) Chapter 5, Section 52101 "Resolution/Closeout."

Disposition: Destroy Securely

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## 1990448 Engineering Plan Reviews

Description: This records series is used to review plans for compliance with public health laws in accordance with NRS 439A.100. The files may include, but are not limited to: Blueprints, plans, maps, etc.; Public notices; Letters of approval or denial; Complaints & investigation reports; Copies of construction and occupancy permits; Equipment standards; Fee documents; Hearing documentation; Related correspondence.

Retention: Retain these records for a period of ten (10) calendar years from date of the substantial completion of the project.

Disposition: Destroy Securely

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## 2004087 Facilities Designations Files

Description: This records series is a sub file of the State Licensing files (through licensing, a facility may be "designated" as an acute care facility for example), and is used to hold the supporting documentation to licensing applications provided by the applicant. The files may contain, but is not limited to, documents that give details on: Equipment (type, location, specifications, etc.); Medical staff (technicians, professionals, MD's, etc.); Staffing plan (lists of staff available per shift, alternate and emergency staffing plan, etc.); Facility policy and procedures (for training, emergencies, power loss, fire, security, etc.).

Retention: Retain these records for a period of six (6) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy

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## 2004088 Facilities Federal Survey Files

Description: This records series is a sub file of the Certification Files and is used to document the surveys (investigation type proceedings) for initial certification, recertification and compliance monitoring for facilities who participate in the Federal Medicaid and/or Medicare Programs as described in 42 U.S.C. § 1395aa and 1395bb (see also 42 CFR Part 488). The files may consist of, but are not limited to: Federal HCFA (Health Care Financing Agency) forms (including "Hospital Request for Certification" and "Health Insurance Benefit Agreement"); Health insurance letter; SOD/POC (statement of deficiencies and plan of corrections) documents; Workload data sheet; Medical file reviews; Related correspondence.

Retention: Retain these records for a period of six (6) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy

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## 2004067 Facilities Licensing Files

Description: This records series is used to document the state licensure of health care facilities as described in NRS Chapter 449 and NAC Chapter 449. The files may include, but are not limited to: Licensing documentation; Application Document Checklist with associated records; Plan Reviews; Articles of Incorporation; Disciplinary Actions and complaints with related documentation; Variances with supportive documentation; The files may also include an index and list of where the records of clients from closed facilities have been transferred to or are otherwise maintained.

Retention: Retain the original application(s) and the last complete six years of documents within the files for a period of six (6) calendar years from the end of the calendar year in which the facility was closed or the license was not renewed, was revoked, was suspended or the file otherwise closed.

Disposition: Destroy Securely

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## 2004154 Facilities Licensing Files: Adverse Actions

Description: This records series is used to document adverse actions (such as suspensions or revocations) of health care facilities as described in NRS Chapter 449 and NAC Chapter 449. The files may include, but are not limited to: Complaints, investigative reports and compliance survey reports (see NRS 449.160 to 449.240 and NAC 449.0118 to 449.99939); Copies of hearing records, appeals, decision documents (including any dismissals, conditions, stipulations, etc.); Related correspondence.

Retention: Retain this record series for a period of fifteen (15) calendar years from the end of the calendar year in which the adverse action was concluded.

Disposition: Destroy Securely

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## 2004068 Facilities Medicaid/Medicare Certification Files

Description: This records series is used to document the certification process for facilities who participate in the Federal Medicaid and/or Medicare Programs as described in 42 U.S.C. Section 1395aa and 1395bb (see also 42 CFR Part 488). The files may consist of, but are not limited to, the following sections: Certification and Transmittal: Federal Centers for Medicare and Medicaid Services (CMS) application and certification forms on initial certification and renewals; Disclosure of Ownership: Federal CMS forms containing information on legal ownership of the facility with supportive documentation; Correspondence: correspondence related to the certification process; Agreements: original signed agreements between the provider and CMS with related forms; Ownership: forms and supportive documents containing information on providers, partnerships, owners, etc.; Disciplinary Actions: containing copies of state compliance survey reports, CMS determinations, hearing documentation, appeals and related documents; Related correspondence.

Retention: Retain the last complete six (6) years of documents within the files for a period of six (6) calendar years from the end of the calendar year in which the certification was not renewed, revoked, suspended or the file otherwise closed.

Disposition: Destroy Securely

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## 2004155 Facilities Medicaid/Medicare Certification Files: Adverse Actions

Description: This records series is used to document adverse actions (such as reprimand, censure, probation, suspension or revocation) for facilities who participate in the Federal Medicaid and/or Medicare Programs. The files may consist of, but are not limited to: Copies of documents described in 42 U.S.C. § 1396r-2; Copies of state compliance survey reports, CMS determinations; Hearing and appeal and supportive documentation; Related correspondence.

Retention: Retain this record series for a period of fifteen (15) calendar years from the end of the calendar year in which the adverse action was concluded.

Disposition: Destroy Securely

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## 2004089 Facilities State Survey Files

Description: This records series is a sub file of the State Licensure Files and is used to document the surveys (investigation type procedure) that is done for initial, renewal or compliance monitoring for state licensure of health care facilities as described in NRS Chapter 449 and NAC Chapter 449. The files may consist of, but are not limited to: Licensure Survey Packet Checklist; Licensure authorization form; Copy of application with supportive documentation; Copy of State Fire Marshall's approval letter; Copy of certificate of insurance; Field notes (which may include photos, copies of facility documents, actual notes and similar documents); Survey booklet (includes facility personnel and resident record checklist), SOD/POC (statement of deficiencies and plan of correction); Resident and personnel rosters (staff lists); Related correspondence.

Retention: Retain these records for a period of six (6) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy Securely

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## 1990450 Health Protection Temporary Permit Files

Description: This records series consists of permits and certificates issued to applicants on a temporary basis for such events as fairs, special events and similar occasions. The file may contain, but is not limited to: Application material; Fee documentation; Inspection reports; Related correspondence.

Retention: Retain these records for a period of three (3) calendar years from final date of event.

Disposition: Destroy

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## 1990398 Radiation Incident Files

Description: This record series contains reports of overexposure and/or excessive levels or concentrations (NAC 459.366). The files may include, but are not limited to: Notification of incidents (NRS 459.070 and NAC 459.070); Reports of theft, loss of sources of radiation (NAC 459.372).

Retention: Retain these records for a period of three (3) calendar years.

Disposition: Permanent: Transfer to State Archives

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## 2004117 State Lab Personnel Certification and Licensure Files

Description: This records series is used in the administration of the certification of lab personnel and licensure of lab directors in accordance with NRS Chapter 652 and NAC Chapter 652. The files may contain, but are not limited to: "Certification," including record of certification/license issued, original application, renewals and acknowledgements; "Evidence," which includes all supportive documentation (including academic transcripts, copies of certificates of registration, proof of employment, letters from employers, and other documentation as described in NAC 652.380 or 652.470); "Fees," including invoices, receipts and other accounting type documents; "Hearings," including all documentation relating to disciplinary actions and hearings; "Legal," including all documentation related to child support actions or other legal matters (court records, DA documents, etc.); Related correspondence.

Retention: Retain documents within this record series for a period of six (6) calendar years from the end of the calendar year to which they pertain (three complete certification/licensing cycles).

Disposition: Destroy Securely

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## 2004118 State Medical Lab Certification Files

Description: This records series is used in the administration of the certification of medical labs in accordance with NRS Chapter 652 and NAC Chapter 652. The files may contain, but are not limited to: Laboratory Packet Coversheet; Application and renewals with associated records; Certification history; Statement of Deficiencies and Plan of Correction (SOD/POC) with supportive documentation; Related correspondence.

Retention: Retain documents within this record series for a period of six (6) calendar years from the end of the calendar year to which they pertain (three complete certification/licensing cycles).

Disposition: Destroy

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## 2004153 State Medical Lab Certification Files: Adverse Actions

Description: This records series is used in the administration of adverse actions (such as suspensions or revocations) of medical labs in accordance with NRS Chapter 652 and NAC Chapter 652. The files may contain, but are not limited to: Copies of documents in the State Certification file; Investigative reports; Dismissal or closure documents (including any negative findings, conditions, stipulations, length of time, etc.); Hearing documents with supportive documentation; Related correspondence.

Retention: Retain this record series for a period of fifteen (15) calendar years from the end of the calendar year in which the adverse action was concluded.

Disposition: Destroy

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