This Records Disposition Schedule supersedes the Records Disposition Schedule 81-15 approved by the Archives and Records Commission on July 15, 1981 and all subsequent amendments to that schedule approved by the Archives and Records Commission. Subsequent Amendments to Records Disposition Schedule 96-03 were approved by the Archives and Records Commission on October 11, 2000, April 24, 2008, and October 30, 2008.

This schedule uses many acronyms. Below are their abbreviations and what they represent:

- ACT: Account
- AAMC: American Association of Medical Colleges
- ACTG: Accounting
- CHK: Check
- HSC: Health Sciences Center
- OMB: Office of Management and Budget
- PAR: Personnel Activity Report
- REC: Reconciliation

Convenience or Reference Copies

Copies of records created for the user’s convenience may be destroyed when they are no longer required for administrative purposes. Access restrictions, if any, apply to copies and originals alike. It is not necessary to request approval for destruction of convenience copies of records.

Record Format

Individual agencies, boards, commissions, and institutions shall maintain individual record series in the most efficient and cost effective format consistent with sound records management principles, state and federal laws, rules and regulations, court decisions, and their individual records keeping needs.

If statutory provisions, court decisions, Code of Federal Regulations (CFR), Oklahoma Rules and Regulations adopted in accordance with the Administrative Procedures Act (75 O.S. §250 et seq.), or other state and federal regulations mandate retention periods longer than those stipulated in this Schedule or require that records be retained in hard copy or other format, the applicable statutes, court decisions, CFR, or other state and federal regulations shall govern the retention periods and formats of the records.

Information regarding requirements for specific record formats is located in the Introduction to the General Records Disposition Schedule for State Agencies, Boards and Commissions, which can be found at the Oklahoma Department of Libraries website.

All records, including temporary and permanent records, may be stored at the State Records Center, located at 426 E. Hill Street. For information regarding charges for these services, contact the Oklahoma Department of Libraries State Records Center.
1-1 **HSC ACT 3**

Description: Monthly summary report listing statements of accounts for construction (9000 accounts except 9001-9), HSC ACTI (Trial Balance), Administration and Finance (0104-1), Coronary Care (A0000870), V.A.—University Expansion Capitol Improvement, Dermatology Clinic (A0001270), Parking Garage-Retail Commercial Space (A7003810), Physical Fitness Center (A7003820), Biomedical Science Building (A7003830), TIA/TMC Construction Project (A0005070), and Athletic Tickets (A9302500).

Volume: 36 cubic feet per year

Disposition: Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, and (2) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

1-2 **HSC ACT5 (Analysis of Operations for Budgetary Accounts Plant Funds by Project)**

Description: Monthly summary report listing account totals of current expenditures, amounts of funds encumbered, and free balances by account numbers.

Volume: 2 cubic feet per year

Disposition: Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, and (2) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
**Computer Printouts - Appropriations Accounting**  (continued)

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<table>
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<tbody>
<tr>
<td><strong>1-3</strong></td>
<td><strong>HSC ACT2 (Account Master)</strong></td>
<td></td>
</tr>
<tr>
<td>Description:</td>
<td>Numerical listing of all non 430 fund accounts.</td>
<td></td>
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<tr>
<td>Volume:</td>
<td>1 cubic foot per year</td>
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<tr>
<td>Disposition:</td>
<td>Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, and (2) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.</td>
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<tbody>
<tr>
<td><strong>1-4</strong></td>
<td><strong>HSC ACT4 (Report of Receipts and Expenditures)</strong></td>
<td></td>
</tr>
<tr>
<td>Description:</td>
<td>Monthly printout of receipts and expenditures.</td>
<td></td>
</tr>
<tr>
<td>Volume:</td>
<td>2 cubic feet per year</td>
<td></td>
</tr>
<tr>
<td>Disposition:</td>
<td>Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, and (2) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.</td>
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<tbody>
<tr>
<td><strong>1-5</strong></td>
<td><strong>HSC ACT5 (Statement of Operations)</strong></td>
<td></td>
</tr>
<tr>
<td>Description:</td>
<td>Monthly printout listing current and year-to-date charges by account numbers.</td>
<td></td>
</tr>
<tr>
<td>Volume:</td>
<td>3 cubic feet per year</td>
<td></td>
</tr>
<tr>
<td>Disposition:</td>
<td>Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, and (2) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.</td>
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</table>
## Computer Printouts - Appropriations Accounting (continued)

<table>
<thead>
<tr>
<th>No.</th>
<th>Description</th>
<th>Volume</th>
<th>Disposition</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-6</td>
<td><strong>HSC ACT6 (Analysis of Expenditures and Income)</strong></td>
<td>3 cubic feet per year</td>
<td>Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, and (2) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.</td>
</tr>
<tr>
<td>1-7</td>
<td><strong>CHK REC2 (Warrant Listing)</strong></td>
<td>2 cubic feet per year</td>
<td>Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, and (2) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.</td>
</tr>
<tr>
<td>1-8</td>
<td><strong>CHK REC3 (Claims and Warrants Reconciliation)</strong></td>
<td>3 cubic feet per year</td>
<td>Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, and (2) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.</td>
</tr>
</tbody>
</table>
Computer Printouts - Appropriations Accounting (continued)

1-9 **HSC ACTG (Edit Master)**

**Description:** Printouts used to verify accounting data such as expenditures from various object codes and fund accounts.

**Volume:** 1 cubic foot per year

**Disposition:** Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, and (2) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

1-10 **1099 Report**

**Description:** Annual reports of transactions involving individuals that provided contract labor to university (1099 accounts).

**Volume:** 1 cubic foot per year

**Disposition:** Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, and (2) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Medical Records

2-1 Patient Medical Records (Active) (Record Copy) Confidential Record 76 O.S., §19 and 43A O.S., §1-109

Description: Files contain a comprehensive record of the evaluation, treatment, and other services provided to patients and clients. If individual patients have been admitted more than one time, separate medical records may exist for each admission. Individual files contain one or more of the following records: Face Sheets; Social-Psychiatric-Psychological-Nursing Assessments; Physical Examination Results; Consultation Reports; Treatment Plans and Updates; Physician’s Orders; Progress Notes; X-Ray and Laboratory Reports; Diabetic Records; Operative Reports; Dental Clinic Records; Activity Therapy Assessments; Aftercare Reports; Court Commitment Documents; Release and Discharge Summaries; Copies of Autopsy Reports; Consent to Treatment Forms; Consent to Release Information Forms; Medical Competency Documents; Restoration Competency Documents; Medical Problem Log; Patients Schedule; Clozapine Evaluation/Screening; Seclusion and Restraint Record; Medication Administration Record; Certification of Patient’s Release; Referrals; Flow Sheets and Correspondence.

Disposition: Retain individual files in office until three (3) years after patient is discharged, transferred or dies then transfer to Patient Medical Records (Inactive), [Series 2-2] provided patient is at least twenty-one (21) years of age. For patients who are not at least twenty-one (21) years of age at the time of their discharge, transferal, or death retain individual files in office until three (3) years after patient’s eighteenth (18th) birthday, then transfer to Patient Medical Records (Inactive), [Series 2-2].

added October 11, 2000
Medical Records

2-2  Patient Medical Records (Inactive)  (Record Copy)  (Confidential Record  76 O.S. §19 and 43A O.S. §1-109, 45 CFR Part 160 and Part 164, Subparts A and E (Health Insurance Portability and Accountability Act of 1996 regulations)

Description: Files contain a comprehensive record of the evaluation, treatment, and other services provided to patients and clients. If individual patients have been admitted more than one time, separate medical records may exist for each admission. Individual files contain one or more of the following records: Face Sheets; Social-Psychiatric-Psychological-Nursing Assessments; Physical Examination Results; Consultation Reports; Treatment Plans and Updates; Physician’s Orders; Progress Notes; X-Ray and Laboratory Reports; Diabetic Records; Operative Reports; Dental Clinic Records; Activity Therapy Assessments; Aftercare Reports; Court Commitment Documents; Release and Discharge Summaries; Copies of Autopsy Reports; Consent to Treatment Forms; Consent to Release Information Forms; Medical Competency Documents; Restoration Competency Documents; Medical Problem Log; Patients Schedule; Clozapine Evaluation/Screening; Seclusion and Restraint Record; Medication Administration Record; Certification of Patient’s Release; Referrals; Flow Sheets and Correspondence.

Disposition: Retain in office three (3) years, then relocate to off-site storage or microfilm Face Sheets; Social-Psychiatric-Psychological-Nursing Assessments; Physical Examination Results; Consultation Reports; Treatment Plans and Updates; Physician's Orders; Progress Notes; X-Ray and Laboratory Reports; Diabetic Records; Operative Reports; Dental Clinic Records; Activity Therapy Assessments; Aftercare Reports; Court Commitment Documents; Release and Discharge Summaries; Copies of Autopsy Reports; Consent to Treatment Forms; Consent to Release Information Forms; Medical Competency Documents; Restoration Competency Documents; Medical Problem Logs; and Restoration Competency Documents; Patients Schedule; Clozapine Evaluation/Screening; Seclusion and Restraint Record; Medication Administration Record; Certification of Patient’s Release; Referrals; and Flow Sheets. If microfilmed, destroy applicable hard copy records (1) upon certification that the microfilm meets all standards for authenticity, photographic quality, and bibliographic integrity established by the Archives and Records Commission, (2) after depositing the master negative of the microfilm with the Oklahoma Department of Libraries, and (3) after retaining at least one (1) user copy of the microfilm in the Agency. Destroy Correspondence without microfilming provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. If stored, the hard copy records may later be destroyed according to the following guidelines:
Medical Records (continued)

<table>
<thead>
<tr>
<th>Health Information</th>
<th>Retention Period</th>
<th>Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>Medical Records (adult)</td>
<td>10 years after most recent encounter</td>
<td>Am. Health Inf. Mgt. Assoc. (AHIMA)</td>
</tr>
<tr>
<td>Medical Records (minors)</td>
<td>Age of 20 plus statute of limitations</td>
<td>76 O.S. §18</td>
</tr>
<tr>
<td>Medical Records (incompetent patients)</td>
<td>3 years from the date the incompetency is removed</td>
<td>76 O.S. §18</td>
</tr>
<tr>
<td>Fetal Heart Monitor Records</td>
<td>10 years after the infant reaches the age of majority (18 years of age)</td>
<td>AHIMA</td>
</tr>
<tr>
<td>Diagnostic Images (such as x-ray film)</td>
<td>5 years after negative pathology reading. 10 years after positive pathology reading. If legal action is pending, destroy 2 years after exhaustion of all legal remedies provided records meet all other stipulated retention requirements.</td>
<td>42 USC 263b(j)(G)(i)(I)</td>
</tr>
<tr>
<td>Mammography</td>
<td>10 years from date of image</td>
<td>21 CFR 900.12(c)(4)(i)</td>
</tr>
<tr>
<td>Master Patient Index</td>
<td>Permanently</td>
<td>AHIMA</td>
</tr>
<tr>
<td>Employee, Student, Faculty, and Staff Health Records</td>
<td>5 years from last medical contact or a minimum of 3 years after the date of death, provided no legal actions pending. If legal action is pending, destroy 2 years after exhaustion of all legal remedies provided records meet all other stipulated retention requirements.</td>
<td>OUHSC Consolidated General Records Disposition Schedule, Medical Clinic / Dispensary 8-1</td>
</tr>
</tbody>
</table>

In the event applicable Federal Law or a related contract requires a longer retention period, that retention period must be observed.

Prior to the destruction of any medical records, the Risk Management Department, Legal Counsel, and Compliance Office must be provided a proposed list of medical records to be destroyed for verification of pending litigation or investigation. A written authorization to destroy from each office is required prior to destroying records.
Medical Records (continued)

A Record of Destruction form must be maintained by the individual department or clinic whose records were destroyed. Contact the OUHSC General Services Records Manager for specific forms before destroying data covered by records retention regulations.

Paper records must be destroyed in a manner that protects confidentiality and renders the information no longer recognizable. Approved methods to destroy medical records include, but are not limited to, recycling, shredding, and pulping. If medical records are destroyed off-site using a destruction company, a certificate must be obtained attesting to the destruction of records. X-Ray film should be recycled through a silver reclamation company. Electronic medical records meeting the retention deadline will be marked “obsolete” and no longer available for viewing. Information Systems will delete “obsolete” records if the technology is in place to perform this function. Medical record information residing on electronic medium meeting the retention deadline must be completely removed with erase tools that meet industry standards for data destruction, such as DOD (Dept. of Defense) 5220.22-M standards. Destruction of data stored on media such as compact disk, magnetic disk, etc., may be performed by the department or clinic maintaining the data. Destruction of data stored on media such as a hard drive should be performed by Information Systems. At a minimum, the following information will be tracked when disposing of electronic medium:

- Date and time of disposal
- Who performed the disposal
- Brief description of media or information systems that were disposed
- Reason for disposal
- Type of disposal

Amended October 30, 2008
Computer Printouts - Grants and Contracts Administration

3-1 Personnel Activity Report 34 CFR § 74.53

Description: Quarterly reports arranged by social security numbers and used to allocate employee time on various projects to comply with OMB.

Volume: 3 cubic feet per year

Disposition: Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

3-2 Current Status (PAR-FORM) 34 CFR § 74.53

Description: Monthly report used to assist in the compilation of Personnel Activity Report, Series 3-1.

Volume: 2 cubic feet per year

Disposition: Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Computer Printouts - Grants and Contracts Administration  (continued)

3-3  **PAR CONTROL 34 CFR § 74.53**

Description: Monthly printout used in conjunction with Current Status (Par-Form), Series 3-2.

Volume: 1 cubic foot per year

Disposition: Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
**Computer Printouts - Grants Accounting**

4-1 **Grant Reports** 34 CFR § 74.53

Description: Reports listing accumulation of grant fund expenditures. Shows account name, agency codes, projects, and other pertinent data.

Volume: 11 cubic feet per year

Disposition: Retain in office and destroy all printouts when superseded except fiscal year end report (June 30) when they become five (5) years old (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Retain fiscal year end report (June 30) permanently in office.

4-2 **General Ledger** 34 CFR § 74.53

Description: Cumulative printout reports listing expenditures within various object codes.

Volume: 15 cubic feet per year

Disposition: Retain in office and destroy all printouts when superseded except fiscal year end report (June 30) when they become five (5) years old (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Retain fiscal year end report (June 30) permanently in office.
Computer Printouts - Grants Accounting (continued)

4-3  Grants Edits 34 CFR § 74.53

Description: Reports listing cash receipts, claims data, and amounts of funds encumbered.

Volume: 11 cubic feet per year

Disposition: Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

4-4  Processable Records 34 CFR § 74.53

Description: Report listing information contained in all income and expenditure documents processed by the Finance Section.

Volume: 3 cubic feet per year

Disposition: Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
4-5 **Processable Records File List** 34 CFR § 74.53

**Description:** Reports listing summaries of accounts activities.

**Volume:** 3 cubic feet per year

**Disposition:** Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

4-6 **Weekly Cash Balance Report** 34 CFR § 74.53

**Description:** Reports listing state and federal funds and current account balances.

**Volume:** 1 cubic foot per year

**Disposition:** Retain in office and destroy all printouts when superseded except fiscal year end report (June 30) when they become five (5) years old (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Retain fiscal year end report June (30) permanently in office.
Computer Printouts - Grants Accounting (continued)

4-7 **Statement of Accounts 34 CFR § 74.53**

Description: Back up printout report listing monthly activity summaries for cumulative yearly totals of accounts.

Volume: 21 cubic feet per year

Disposition: Retain in office and destroy all printouts when superseded except fiscal year end report (June 30) when they become five (5) years old (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Retain fiscal year end report June (30) permanently in office.

4-8 **Balance Sheet 34 CFR § 74.53**

Description: Monthly report listing assets and liabilities, as well as student loan data.

Volume: 1 cubic foot per year

Disposition: Retain in office and destroy all printouts when superseded except fiscal year end report (June 30) when they become five (5) years old (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Retain fiscal year end report June (30) permanently in office.
Computer Printouts - Grants Accounting  (continued)

4-9  **Statement of Operations** 34 CFR § 74.53

- **Description:** Monthly report of income and expenditures by object codes.
- **Volume:** 1 cubic foot per year
- **Disposition:** Retain in office and destroy all printouts when superseded except fiscal year end report (June 30) when they become five (5) years old (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Retain fiscal year end report June (30) permanently in office.
Computer Printouts - Grants Accounting (continued)

4-10  **Departmental Income and Expenditure Report**  34 CFR § 74.53

**Description:** Monthly printout showing accumulated income and expense data for each department of the Health Sciences Center.

**Volume:** 1 cubic foot per year

**Disposition:** Retain in office and destroy all printouts when superseded except fiscal year end report (June 30) when they become five (5) years old (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Retain fiscal year end report June (30) permanently in office.

4-11 **Monthly Income and Expense Recap**  34 CFR § 74.53

**Description:** Reports list accumulated statistics relating to income and expenses for both federal and nonfederal funds.

**Volume:** 1 cubic foot per year

**Disposition:** Retain in office and destroy all printouts when superseded except fiscal year end report (June 30) when they become five (5) years old (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Retain fiscal year end report June (30) permanently in office.
Computer Printouts - Grants Accounting  (continued)

4-12  **Monthly Journal Listing** 34 CFR § 74.53

Description:  Monthly report of financial transactions by transaction codes.

Volume:  5 cubic feet per year

Disposition:  Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending.  If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

4-13  **Receipts and Checks** 34 CFR § 74.53

Description:  Monthly listing of all money received and all claims issued.

Volume:  1 cubic foot per year

Disposition:  Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending.  If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
### 4-14  **Closing Grant Report** 34 CFR § 74.53

**Description:** Monthly listing of all grants that will be closed within the next ninety (90) days.

**Volume:** 1 cubic foot per year

**Disposition:** Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

### 4-15  **Encumbrance Master** 34 CFR § 74.53

**Description:** Monthly listing of all encumbrances by accounts.

**Volume:** 1 cubic foot per year

**Disposition:** Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
**Computer Printouts - Grants Accounting** (continued)

4-16 **Balance Master** 34 CFR § 74.53

Description: Monthly listing of expenditures by object codes. (Also lists cumulative yearly totals.)

Volume: 4 cubic feet per year

Disposition: Retain in office and destroy all printouts when superseded except fiscal year end report (June 30) when they become five (5) years old (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Retain fiscal year end report June (30) permanently in office.

4-17 **Expenses by Object Codes** 34 CFR § 74.53

Description: Listing of monthly expenditures by object codes. Reports also provide cumulative yearly totals.

Volume: 5 cubic feet per year

Disposition: Retain in office and destroy all printouts when superseded except fiscal year end report (June 30) when they become five (5) years old (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Retain fiscal year end report June (30) permanently in office.
Computer Printouts - Grants Accounting (continued)

4-18  **Warrant Listing** 34 CFR § 74.53

Description: Monthly report of all warrants issued to pay Health Sciences Center financial obligations.

Volume: 1 cubic feet per year

Disposition: Retain in office and destroy all printouts when superseded except fiscal year end report (June 30) when they become five (5) years old (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Retain fiscal year end report June (30) permanently in office.

4-19  **Report of Federal Grant** 34 CFR § 74.53

Description: Monthly Report of grant fund expenditures by accounts. (Reports also list cumulative yearly totals.)

Volume: 1 cubic foot per year

Disposition: Retain in office and destroy all printouts when superseded except fiscal year end report (June 30) when they become five (5) years old (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Retain fiscal year end report June (30) permanently in office.
Computer Printouts - Grants Accounting  (continued)

4-20  Title Master 34 CFR § 74.53

Description: Similar to Series 4-1, but also lists indirect cost data and "trust granting" information.

Volume: 2 cubic feet per year

Disposition: Retain in office and destroy all printouts when superseded except fiscal year end report (June 30) when they become five (5) years old (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Retain fiscal year end report June (30) permanently in office.

4-21  Listing of Accounts 34 CFR § 74.53

Description: Three separate listings--accounts by investigators, account numbers, and departments. (Issued monthly)

Volume: 1 cubic foot per year

Disposition: Retain in office and destroy all printouts when superseded except fiscal year end report (June 30) when they become five (5) years old (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Retain fiscal year end report June (30) permanently in office.
Computer Printouts - Grants Accounting (continued)

4-22  **Special Service Transactions** 34 CFR § 74.53

- **Description:** Monthly report listing all claims relating to Form 3 (1099 accounts). Reports also provide cumulative yearly totals.
- **Volume:** 1 cubic foot per year
- **Disposition:** Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

4-23  **AAMC** 34 CFR § 74.53

- **Description:** Monthly reports used as basis for compiling quarterly and yearly reports sent to American Association of Medical Colleges.
- **Volume:** 2 cubic feet per year
- **Disposition:** Retain in office and destroy all printouts when superseded except fiscal year end report (June 30) when they become five (5) years old (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Retain fiscal year end report June (30) permanently in office.
4-24  **Income and Expenditure by Source of Funds** 34 CFR § 74.53

**Description:** Monthly report of income and expenditures by fund sources.

**Volume:** 1 cubic foot per year

**Disposition:** Retain in office and destroy all printouts when superseded except fiscal year end report (June 30) when they become five (5) years old (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Retain fiscal year end report June (30) permanently in office.

4-25  **Income and Expenditure by College** 34 CFR § 74.53

**Description:** Monthly report of income and expenditures by Colleges.

**Volume:** 1 cubic foot per year

**Disposition:** Retain in office and destroy all printouts when superseded except fiscal year end report (June 30) when they become five (5) years old (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Retain fiscal year end report June (30) permanently in office.
Computer Printouts - Grants Accounting (continued)

4-26  **Strata Expense** 34 CFR § 74.53

**Description:** Monthly expense report by sources and accounts.

**Volume:** 1 cubic foot per year

**Disposition:** Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

4-27  **Year End Closing Report** 34 CFR § 74.53

**Description:** Current balances for all B and D Accounts (revolving funds), as well as for accounts C1 through C9.

**Volume:** 1 cubic foot per year

**Disposition:** Retain in office and destroy all printouts when superseded except fiscal year end report (June 30) when they become five (5) years old (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Retain fiscal year end report June (30) permanently in office.
Computer Printouts - Grants Accounting (continued)

4-28 Financial Reports (Cumulative) 34 CFR § 74.53

Description: Includes monthly and year-end asset, liability, fund balance, revenue, and expenditure general ledger balances and, trials balances reports, reports used for reconciliation purposes, reports used in tracking outstanding commitments/encumbrances, indirect cost calculation reports, etc.

Volume: 86 cubic feet per year

Disposition: Retain in office and destroy all printouts when superseded except fiscal year end report (June 30) when they become five (5) years old (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Retain fiscal year end report June (30) permanently in office.

4-29 Financial Reports (Non-Cumulative) 34 CFR § 74.53

Description: Includes monthly and year-end transaction detail reported at various level, reports used in identifying "1099" income transactions, encumbrances, indirect cost calculation reports, receipts and claim reports excluding cash receipts, journal listing, and unmatched object codes reports.

Volume: 17 cubic feet per year

Disposition: Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
4-30 Non-Financial Reports 34 CFR § 74.53

Description: Includes reports containing background information pertaining to Grant and Contract award (e.g., principal investigator's name, department affiliation, funding sponsor, etc.), listing of active/closed cost centers, general ledger chart of accounts listing, departmental number listing, etc.

Volume: 14 cubic feet per year

Disposition: Retain in office and destroy all printouts when superseded except fiscal year end report (June 30) when they become five (5) years old (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Retain fiscal year end report June (30) permanently in office.

4-31 System Update Reports 34 CFR § 74.53

Description: Includes reports reflecting data processed during updating of the accounting system, (e.g., edit reports reflecting valid input, invalid input), etc.

Volume: 22 cubic feet per year

Disposition: Retain in office five (5) years, then destroy (1) provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies (2) provided all applicable CFR requirements and/or nonfederal grant requirements have been satisfied, and (3) provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
George Nigh Rehabilitation Center

5-1  Inpatient Rehabilitation Records  Confidential Record  76 O.S., §19

Description: Files are a record of comprehensive rehabilitation program involving the diagnosis, treatment, and prevention of disabilities of all types under the direction of an interdisciplinary team of physicians and other medical staff. If individual patients have been admitted more than one time, separate medical records may exist for each admission. Individual files contain one or more of the following records: Admission Divider Sheet (labeled “Inpatient” with admission and discharge dates listed), Home Health Orders (sent for signature after discharge, maintained for signature verification), Fax Transmittal Sheets, Fax Cover Sheets, Correspondence, Release of Information Authorizations, Patient Discharge Checklists, Advanced Directives or Living Will, Do Not Resuscitate Consent Forms, Patient Referral Sheets, Insurance Verification Sheets, Consents, Code Blue Sheets, Physician Discharge Summaries, History and Physical Examination Records, Emergency Room Records, Outpatient Records (created during an inpatient’s stay), Consultations, Physician’s Progress Notes, Staffing Notes, Physician’s Orders, Recommendations for Outpatient Care, Physical Therapy Initial Evaluations/Discharge Summaries, Weekly Charge Tickets, Physical Therapy Flow Sheets, Physical Therapy Progress Notes, Home Program Records, Recommendations for Equipment, Home Visit Reports, Occupational Therapy Initial Evaluations/Discharge Summaries, Occupational Therapy Flow Sheets, Occupational Therapy Progress Notes, Independent Living Unit Sheets, Community Outing Reports, Aquatics Referral Forms, Aquatics Flow Sheets, Therapeutic Recreation Initial Evaluations/Discharge Summaries, Therapeutic Recreation Flow Sheets, Therapeutic Recreation Progress Notes, Speech-Language Pathology Initial Evaluations/Discharge Summaries, Speech-Language Pathology Flow Sheets, Speech-Language Progress Notes, Hearing Evaluations, Swallowing Evaluations, Social Services Discharge Summaries, Social Services Initial Assessments, Individual Patient Rehabilitation Plans, Social Services Progress Notes, Family Conferences Records, Interdisciplinary Team Staffing Records, Dietary Assessments/Discharge Summaries, Dietary Progress Notes, X-Ray Reports, Ultrasound Reports, Laboratory Tests, Electrocardiograms, Nursing Discharge Summaries, Weight Flow Sheets/Vital Signs, Fall Risk Management/Nursing Service Data Bank, Patient Teaching Checklists, Nursing Care Plans, Weekly Nursing Assessments, Medication Sheets, Restraint Consents, Diabetic Flow Sheets, Bladder Scans, Nursing 24 Hour Summaries, Patient Pass Release of Responsibility Forms, and Valuables Envelopes.
George Nigh Rehabilitation Center

5-1  **Inpatient Rehabilitation Records** (continued)

Disposition: Retain in office and microfilm individual files three (3) years after last entry. Destroy applicable hard copy documents except those defined by Archives and Records Commission Rule 60:10-7-2(2) as below standards for microfilm (a) upon certification that the microfilm meets all standards for authenticity, photographic quality, and bibliographic integrity established by the Archives and Records Commission, (b) after storing the master negative of the microfilm in an offsite storage facility that meets Archives and Records Commission standards for the storage of permanent microfilm, and (c) after retaining at least one (1) user copy of the microfilm in the agency.

added October 11, 2000
George Nigh Rehabilitation Center

5-2  **Skilled Nursing Facility Records**  Confidential Record  76 O.S., §19

Description: Files are a record of skilled nursing and comprehensive rehabilitation program involving the diagnosis, treatment, and prevention of disabilities of all types under the direction of an interdisciplinary team of physicians and other medical staff. If individual patients have been admitted more than one time, separate medical records may exist for each admission. Individual files contain one or more of the following records: Admission Divider Sheet (labeled “Inpatient” with admission and discharge dates listed), Home Health Orders (sent for signature after discharge, maintained for signature verification), Fax Transmit Sheets, Fax Cover Sheets, Correspondence, Release of Information Authorizations, Patient Discharge Checklists, Advanced Directives or Living Wills, Do Not Resuscitate Consent Forms, Patient Referral Sheets, Insurance Verification Sheets, Consents, Code Blue Sheets, Physician Discharge Summaries, History and Physical Examination Records, Emergency Room Records, Outpatient Records (created during an inpatient’s stay) Consultations, Physician’s Progress Notes, Staffing Notes, Physician’s Orders, Recommendations for Outpatient Care, Physical Therapy Initial Evaluations/Discharge Summaries, Weekly Charge Tickets, Physical Therapy Flow Sheets, Physical Therapy Progress Notes, Home Program Records, Recommendations for Equipment, Home Visit Reports, Occupational Therapy Initial Evaluations/Discharge Summaries, Occupational Therapy Flow Sheets, Occupational Therapy Progress Notes, Independent Living Unit Sheets, Community Outing Reports, Aquatics Referral Forms, Aquatics Flow Sheets, Therapeutic Recreation Initial Evaluations/Discharge Summaries, Therapeutic Recreation Flow Sheets, Therapeutic Recreation Progress Notes, Activities Sheet, Speech-Language Pathology Initial Evaluations/Discharge Summaries, Speech-Language Pathology Flow Sheets, Speech-Language Pathology Progress Notes, Hearing Evaluations, Swallowing Evaluations, Social Services Discharge Summaries, Social Services Initial Assessments, Individual Patient Rehabilitation Plans, Social Services Progress Notes, Family Conferences Records, Interdisciplinary Team Staffing Records, Dietary Assessments/Discharge Summaries, Dietary Progress Notes, X-Ray Reports, Ultrasound Reports, Laboratory Tests, Electrocardiograms, Nursing Discharge Summaries,
George Nigh Rehabilitation Center

5-2  Skilled Nursing Facility Records  (continued)


Disposition: Retain in office and microfilm individual files three (3) years after last entry. Destroy applicable hard copy documents except those defined by Archives and Records Commission Rule 60:10-7-2(2) as below standards for microfilm (a) upon certification that the microfilm meets all standards established by the Archives and Records Commission, (b) after storing the master negative of the microfilm in an offsite storage facility that meets Archives and Records Commission standards for the storage of permanent microfilm, and (c) after retaining at least one (1) user copy of the microfilm in the agency.

added October 11, 2000
George Nigh Rehabilitation Center

5-3 Physical Rehabilitation Outpatient Records  Confidential Record  76 O.S., §19

Description: Files are a record of comprehensive rehabilitation program involving the diagnosis, treatment, and prevention of disabilities of all types under the direction of an interdisciplinary team of physicians and other medical staff. If individual patients have been admitted more than one time, separate medical records may exist for each admission. Individual files contain one or more of the following records: Admission Divider Sheet (labeled “Outpatient” with admission and discharge dates listed), Fax Transmit Sheets, Fax Cover Sheets, Correspondence, Release of Information Authorizations, Do Not Resuscitate Consent Forms, Patient Information Sheets, Consents, Insurance Verification Sheets, Physician’s Orders, Physical Therapy Initial Evaluation/Discharge Summaries, Physician Certifications, Weekly Charge Tickets, Physical Therapy Progress Notes, Home Program Records, Occupational Therapy Initial Evaluation/Discharge Summaries, Speech-Pathology Initial Evaluation/Discharge Summaries, Speech-Language Pathology Flow Sheets, and Speech-Language Pathology Progress Notes.

Disposition: Retain in office and microfilm individual files three (3) years after last entry. Destroy applicable hard copy documents except those defined by Archives and Records Commission Rule 60:10-7-2(2) as below standards for microfilm (a) upon certification that the microfilm meets all standards established by the Archives and Records Commission, (b) after storing the master negative of the microfilm in an offsite storage facility that meets Archives and Records Commission standards for the storage of permanent microfilm, and (c) after retaining at least one (1) user copy of the microfilm in the agency.

added October 11, 2000
George Nigh Rehabilitation Center

5-4 Cardiac Rehabilitation Outpatient Records  Confidential Record  76 O.S., §19

Description: Files are a record of comprehensive rehabilitation program involving the diagnosis, treatment, and prevention of disabilities of all types under the direction of an interdisciplinary team of physicians and other medical staff. If individual patients have been admitted more than one time, separate medical records may exist for each admission. Individual files contain one or more of the following records: Admission Divider Sheet (labeled “Outpatient” with admission and discharge dates listed), Fax Transmit Sheets, Fax Cover Sheets, Correspondence, Release of Information Authorizations, Do Not Resuscitate Consent Forms, Patient Information Sheets, Consents, Insurance Verification Sheets, Physician Referrals/Prescription for Therapy, Initial Evaluation/Discharge Summaries, Health Related Quality of Life Scales, Depression Scales, Learning Style Questionnaires, Daily Charge Tickets, Education Flow Sheets, and Daily Exercise Progress Notes.

Disposition: Retain in office and microfilm individual files three (3) years after last entry. Destroy applicable hard copy documents except those defined by Archives and Records Commission Rule 60:10-7-2(2) as below standards for microfilm (a) upon certification that the microfilm meets all standards established by the Archives and Records Commission, (b) after storing the master negative of the microfilm in an offsite storage facility that meets Archives and Records Commission standards for the storage of permanent microfilm, and (c) after retaining at least one (1) user copy of the microfilm in the agency.

added October 11, 2000
Poison Control Center

6-1 **Poison Control Center Call Recordings** (Confidential Record 45 CFR Parts 160 and 164)

Description: Voice recordings of emergency calls to Oklahoma Poison Control Center. Records may contain protected health information of callers, but are not considered a medical record.

Disposition: Retain in office one (1) year, then destroy, provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

Added April 24, 2008