

**REQUIRED/RECOMMENDED RETENTION SCHEDULE
FOR HEALTH RECORDS IN ALABAMA**

RECORDS	REQUIRED PERIOD OF RETENTION	RECOMMENDED PERIOD OF RETENTION	SOURCE
<u>ADMINISTRATION</u>			
<i>General</i>			
-Outdated Policies & Procedures		8 Years	AAHIM
-Non Cost Report Statistical Reports, i.e. PASSR, Death, etc.		30 Months	SPC-ANHA
<i>Inspection, Equipment and Operations Management</i>			
-Equipment Operation Instruction-Warranty		Life of Equipment plus 48 months	SPC-ANHA
-Maintenance Log (temp. log, fire alarm checks ,etc.)		36 Months	SPC-ANHA
-Food Service Inspection Records		36 Months	SPC-ANHA
-Material Safety Data Sheets	30 Years after product no longer used	Same	OSHA, 29 C.F.R. Part 1910.1020(d)
-Safe Medical Device Reporting forms to FDA and/or Manufacturer	2 Years from the date of the adverse event	Same	21 C.F.R. § 803
Contracts	6 Years	Same	Ala. Code § 6-2-34
<i>Minutes/Documentation</i>			

RECORDS	REQUIRED PERIOD OF RETENTION	RECOMMENDED PERIOD OF RETENTION	SOURCE
-Corporate/Governing Body		Permanently	HFMA, 1990
-Medical Staff Committee, Medical Care Evaluation Studies, Utilization Review, Quality Improvement		36 Months	SPC-ANHA
-Credentialing		Permanently	SPC-ANHA
<u>REPORTS AND RECORDS</u>			
-Risk Management Investigation Reports	24 Months	36 Months	SPC-ANHA
Incident Reports	No requirement	36 Months	ADPH
Quality Assurance	No requirement	36 Months	SPC-ANHA
			SPC-ANHA
-Grievance Complaint Forms (Residents)		36 Months	SPC-ANHA
-Cost Reports		Indefinitely	SPC-ANHA
-Supporting Documentation for Cost Reports		5 Years after final notice of unappealed settlement (NPR)	SPC-ANHA
-UB92 and billing forms and supporting documents		10 years	False Claims Act
<u>FACILITY MEDICAL RECORDS</u>			
Assisted Living	3 Years from date of discharge, transfer, or death	Same	Ala. Admin. Code r. 420-5-4-.06(01)(c)
Nursing Home	Later of 5 years from date of discharge or 3 years after a minor reaches legal age	6 years as set out in HIPAA – 6 years after resident’s final stay	Ala. Admin. Code r. 420-5-10-.03(33); 42 C.F.R. § 483.70(i)(4); ADPH 420-5-10-03(33); 420-5-17-.18(6); 420-5-11-.02(6)(f)

RECORDS	REQUIRED PERIOD OF RETENTION	RECOMMENDED PERIOD OF RETENTION	SOURCE
HIPAA documents	6 years		45 C.F.R. § 164.530 and 45 C.F.R. §164.316(b)(2)
<u>INDEXES/REGISTERS /LOGS</u>			
Admission Register		Permanently	AHIMA
Death Register		Permanently	AHIMA
<u>PERSONNEL</u>			
Applications of non-hires (Name of Applicant)	Later of 1 year from making record or personnel action involved	Same	29 C.F.R. § 1602.14
Employment Medical Records, for employees with more than one (1) year of service	Duration of employment plus 30 years	Same	OSHA, 29 C.F.R. § 1910.1020 (d)
Payroll Records	3 Years	7 Years	29 C.F.R. § 1627.3
Employment Tax Records (Social Security)	Later of 4 years after date tax is due or date tax is paid. If a claim, 4 years after date of filing claim.	7 Years	26 C.F.R. § 31.6001
Completed I-9	Later of 3 years from the date of hire or one year from termination of employment	5 Years	8 C.F.R. § 274a.2
Filing to the Department of Labor regarding Employee Benefit or Pension Plan	6 Years after filing	Same	29 U.S.C. § 1027
Benefit Plan Document		Indefinitely	SPC-ANHA
Employee Files–Records relating to hiring promotion, demotion, transfer, termination, rate of pay, etc. when employer subject to Civil Rights Act	1 Year after making of record; retain until final disposition in event of complaint	3 years after date or final disposition in event of complaint	29 C.F.R. § 1602.14

RECORDS	REQUIRED PERIOD OF RETENTION	RECOMMENDED PERIOD OF RETENTION	SOURCE
Records relating to employment practices and age	3 Years	Same	29 C.F.R. § 1627.3
Records relating to earnings, wage rates, work schedules, evaluating seniority and/or describing basis for wage differentials to employees of opposite sex, job evaluations, job descriptions	3 Years	Same	29 C.F.R. § 516; 29 C.F.R. § 1620.32
Tax Records (Filings, Support Documents, etc.)	Indefinitely; Possible to be subject to review for indefinite period under certain circumstances	Same	26 U.S.C. § 6501
COBRA (Consolidated Omnibus Reconciliation Act) Information		6 Years	SPC-ANHA
<i>Training Records</i>			
-Inservices		5 Years	ABN
-Safety/Health	3 Years	Same	OSHA
W-2,W-4	Later of 4 years after date tax was due or date tax was paid	7 years	26 C.F.R. § 31.6001-1
OSHA No. 300 Log	5 Years	Same	29 CFR § 1904
<i>ERISA</i>			
-Plans		Indefinitely	SPC-ANHA
-Filings	6 Years	Same	29 U.S.C. § 1027, 1059, 1113

RECORDS	REQUIRED PERIOD OF RETENTION	RECOMMENDED PERIOD OF RETENTION	SOURCE
Records pertaining to compliance with FMLA's general requirements for leave	3 Years	Same	Section 11, FLSA; 29 C.F.R. § 825.500 (b).
<u>PHARMACY</u>			
Inventory & Order Form 1451	2 Years	Same	21 C.F.R. § 1305.13
Narcotics Dispensed	Permanently	Same	21 C.F.R. § 1304.24
Narcotics Permit	Life of permit plus 6 years	Same	HFMA, 1990
Prescriptions	2 Years from the date of last refill	Same	21 C.F.R. 1306.25

**REQUIRED/RECOMMENDED RETENTION SCHEDULE
FOR HEALTH CARE RECORDS IN ALABAMA**

LEGEND

AAHIM: ALABAMA ASSOCIATION HEALTH INFORMATION MANAGEMENT
 AHIMA: AMERICAN HEALTH INFORMATION MANAGEMENT ASSOCIATION
 C.F.R.: CODE OF FEDERAL REGULATIONS
 FLSA: FAIR LABOR STANDARDS ACT
 HFMA: HOSPITAL FINANCIAL MANAGEMENT ASSOCIATION
 OSHA: OCCUPATIONAL SAFETY & HEALTH ADMINISTRATION
 USC: UNITED STATES CODE
 SPC—ANHA: STANDARDS OF PRACTICE COMMITTEE—ALABAMA NURSING HOME ASSOCIATION
 ABN: ALABAMA BOARD OF NURSING
 ADPH: ALABAMA DEPARTMENT OF PUBLIC HEALTH

NOTE: Some records may be referenced in different statutes, therefore, this schedule may include reports with recommended period of retention longer than the required period of retention.

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