

Mobile County Health Department

Functional Analysis & Records Disposition Authority

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State Records Commission
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Table of Contents

Functional and Organizational Analysis of Mobile County Health Department	1-1
Sources of Information	1-1
Historical Context	1-1
Agency Organization	1-1
Agency Function and Subfunctions	1-2
Planning and Supervising the Public Health of the County	1-2
Protecting the Environmental Health of the Community	1-2
Responding to Natural and Manmade Disasters	1-2
Controlling the Outbreak and Spread of Communicable Diseases	1-3
Providing Outpatient Health Care Services to the Public	1-3
Recording and Providing Access to Vital Records	1-3
Educating and Informing the Public	1-3
Preparing Periodic Reports	1-4
Administering Internal Operations	1-4
Organizational Chart	1-5
Analysis of Record Keeping System and Records Appraisal of Mobile County Health Department	2-1
Agency Record Keeping System	2-1
Records Appraisal	2-2
Temporary Records	2-2
Permanent Records	2-3
Permanent Records List	2-6
Mobile County Health Department Records Disposition Authority	3-1
Explanation of Records Requirements	3-1
Records Disposition Requirements	3-2
Planning and Supervising the Public Health of the County	3-2
Protecting the Environmental Health of the Community	3-2
Responding to Natural and Manmade Disasters	3-5
Controlling the Outbreak and Spread of Communicable Diseases	3-6
Providing Outpatient Health Care Services to the Public	3-6
Recording and Providing Access to Vital Records	3-8
Educating and Informing the Public	3-8
Preparing Periodic Reports	3-9
Administering Internal Operations	3-9
Requirement and Recommendations for Implementing the Records Disposition Authority	3-14

Functional and Organizational Analysis of the Mobile County Health Department

Sources of Information

Representatives of Mobile County Health Department
Code of Alabama 1975, Sections 22-3-1 through 22-3-12
Mobile County Health Department Annual Reports
Jefferson County Department of Health Records Disposition Authority, Government Records Division, Department of Archives and History
County Department of Health Records Disposition Authority, Government Records Division, Department of Archives and History
State Department of Public Health Records Disposition Authority, Government Records Division, Department of Archives and History

Historical Context

The Mobile County Health Department (hereafter referred to as MCHD) was established in 1816 for the Mississippi Territory. At the turn of the century, there were three (3) boards of health functioning in the county (City of Mobile, County of Mobile, and Citronelle). On January 1, 1919, the three boards were merged into one department which started to provide countywide services.

Agency Organization

The department is supervised by the Mobile County Board of Health, which is composed of seven (7) members, elected by the Mobile County Medical Society.

Under the authority of Code of Alabama (1975), Section 22-3-2, the Mobile County Board of Health elects, subject to the approval of the State Committee of Public Health, a health officer for MCHD.

The department is made up of several program service areas, such as Administrative Services, Program Services, Family Health Clinical Services, Bureau of Finance and Resource Programs, Bureau of Disease Control, and Bureau of Primary Care. In addition, the department operates nine satellite clinics providing outpatient health care services to county residents. An organizational chart is attached.

The Mobile County Health Department is a public entity onto itself. Yet it is considered to be a part of the state government within the State Department of Public Health. Both of the Jefferson County Department of Health and the Mobile County Health Department are different from other county health departments in that both receive, as part of its funding, federal funds and some employees of both agencies are classified as county employees.

Agency Function and Subfunctions

The functions of MCHD are to promote, improve, and protect the health of Mobile County residents by providing health assessment information to the community; providing leadership in public health policy; assuring access to quality health services and information; preventing disease; and enforcing health regulations. This department is one of the agencies responsible for performing the Client Services function of Alabama government. In performance of its mandated function, MCHD may engage in the following sub-functions:

- **Planning and Supervising the Public Health of the County.** MCHD supervises, subject to the advice of the Mobile County Board of Health, the sanitary interests of the county and enforces the health laws of the state, including all ordinances or rules and regulations. This subfunction involves all activities associated with the work of the Mobile County Board of Health and the agency's top management team in developing specific program goals and priorities, establishing procedures measuring quality of care provided to clients.
- **Protecting the Environmental Health of the Community.** Code of Alabama 1975, Section 22-3-2 (4), mandates all county departments of health in Alabama to exercise general supervision over the sanitary conditions of various public and private institutions or facilities and to use legal means to abate unsanitary problems. Through environmental health services, MCHD enforces federal, state, and local laws or regulations designed to provide and protect sanitary living conditions and a safe food supply. This subfunction encompasses three major program areas: Food and Lodging Division, Onsite Sewage Division, and Vector Control Division. The core service activities performed for those programs include product tests, field visits, facility inspections, complaint investigations, plan evaluations and approvals, permits or notices issuance, and various surveys.
- **Responding to Natural and Manmade Disasters.** Public health, under the Federal Essential Support Function (ESF #8), is the primary source for the assurance of medical response in the event of natural or manmade disaster. In conjunction with area-wide response teams that includes members from the Alabama Department of Public Health, the Alabama Emergency Management Agency, the Mobile County Emergency Management Agency, the local Red Cross Agency, and local police, fire, and rescue officials, MCHD supports mitigation and recovery efforts in the event of manmade or natural disasters. This includes responding to damage done by hurricanes, tornadoes, industrial accidents that may involve the surrounding community, and widespread infectious disease outbreaks like influenza. In this role, MCHD primarily provides assistance to first responders, but the preponderance of effort is directed toward mitigation and recovery after the event has occurred. In the age of increasing acts of international and domestic terrorism, MCHD will play a lead role in response to possible

deliberate chemical, radiological, and especially biological releases, in addition to its more frequent and traditional support roles through mitigation and recovery.

- **Controlling the Outbreak and Spread of Communicable Diseases.** One of the major duties of the department is to investigate cases or outbreaks of any communicable disease and to enforce measures for the prevention or extermination of the disease. This subfunction involves investigating disease outbreaks; tracking diseases in the community that are reportable by law; providing testing and/or treatment for Sexually Transmitted Diseases (STD), HIV/AIDS, and tuberculosis; and offering immunization services to children and travelers.

- **Providing Outpatient Health Care Services to the Public.** The Mobile County Health Department operates primary care clinics at various locations within Mobile County to provide outpatient health care services to eligible county residents. The focus of health care is the prevention of disease and the treatment of illness in its early stages so that hospitalization or special care may be avoided. Health care services available in the clinics include family planning, maternity care, pediatric primary care, adult health care, dental care, immunization clinic, clinical laboratory testing, pharmacy service, nutrition counseling, WIC, social services, and case management.

- **Recording and Providing Access to Vital Records.** MCHD is responsible for the registration and preservation of certain records of vital events that occur in Mobile County and providing public access to them. MCHD vital records date back to the early 1800s, birth records dating back to 1871 and death records dating back to 1820. Before the implementation of an electronic transmission system, MCHD was designated by the State Board of Health to keep duplicate copies of vital records and issue official copies of vital records to county residents. As a result of the implementation of an electronic transmission system by the Center for Health Statistics of the State Department of Public Health in 1996, MCHD is no longer required to retain any copies of birth records (birth certificates and amendments), with the exception of records filed prior to the creation of the Center for Health Statistics at the state level in 1908. The same requirement also exists for death records after the State Department of Public Health finalizes the death records. The agency staff members are obligated to assist the public in obtaining certified copies of vital records housed by Center for Health Statistics and to provide direct access to all vital records filed prior to 1908.

- **Educating and Informing the Public.** In accordance with Code of Alabama (1975), Section 22-3-5 (14), (15), and (16), county health departments are obligated to educate the people of the county through lectures, newspaper articles, and demonstrations on the importance of protecting all food products, houses, and human beings against unsanitary conditions or disease. This subfunction involves educating the community about public health through television/radio programs and newspaper articles; coordinating outreach and training activities; and promoting and conducting

awareness programs, such as Public Health Week, the Tobacco Control Program, and faith-based initiatives.

Staff members of the agency's Community Outreach Program work with service centers within the MCHD, churches, civic groups, and community organizations to address health issues; support health-related activities and programs; and provide health data and information. Community Outreach representatives also serve as a liaison between the community and the health department to increase the awareness and understanding of department functions.

- **Preparing Periodic Reports.** This subfunction involves activities associated with the preparation and submission of periodic reports of activities and accomplishments to the Mobile County Board of Health and other government entities, such as the State Department of Public Health that have jurisdiction over certain programs of MCHD.
- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support its programmatic areas.

Managing the Agency: Activities include internal office management work common to most government agencies such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

Managing Finances: Activities involved in managing finances may include the following: budgeting (preparing and reviewing the budget package, submitting the budget package to the Mobile County Board of Health, and documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accountings for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; contracting with companies or individuals; bidding for products and services; and assisting in the audit process.

Managing Human Resources: Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

Managing Properties, Facilities, and Resources: Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; leasing and/or renting offices or facilities; providing for security

and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles

Analysis of Record Keeping System and Records Appraisal of the Mobile County Health Department

Agency Record Keeping System

The MCHD record keeping system consists of paper, microfilm and electronic records. In the past, the agency microfilmed all patient medical records created by the clinics that are more than 5 years old. The paper copy was usually destroyed after the completion of filming. Original microfilms are stored in the agency's headquarters. Medical records are no longer microfilmed since the agency implemented the electronic medical records system.

MCHD installed its first computer system in the early 1970s and currently has approximately 550 PCs, 30 servers, 400 printers, and a Windows 2003 Active Directory. These components are networked together in a Wide Area Network that connects the main administrative offices to 9 remote sites.

In 2003, the Electronic Healthcare Systems (EHS) designed a program that allows the department to manage all phases of patient care, from check-in through physician visits and payment. In July 2006, MCHD began implementation of the electronic medical record-keeping system for all of its primary care clinics. This system is now installed in all of the clinics, with the exception of the STD clinic, and all patients' medical information can now be obtained from any of the nine (9) remote sites electronically. Both the computer system and all applications are backed up Monday through Friday on tapes. Duplicate back-up tapes are transferred to one of the agency's off-site facilities for storage.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by MCHD: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the department are discussed below:

- **Patient Medical Records.** MCHD is responsible for providing a wide range of outpatient health care services to eligible county residents. These records serve as case files to document diagnoses, treatments, and other services, such as flu shots and immunizations, provided to eligible patients. They are retained to meet all statutes of limitation requirements and the medical reference needs of the agency staff for patients who have returned for services.

- **Tuberculosis Patient Case Files.** This series is composed of medical records pertaining to the diagnoses and treatment of active/suspected tuberculosis (TB) patients. A typical file may contain some or all of the following documents: TB clinical records, laboratory reports, X-ray readings, TB drug cards, Reports of Verified Case of Tuberculosis, TB Case - Current Information Exchange Forms, Interstate Reciprocal Notification of Disease forms, and hospital reports of TB patients. The case files are confidential (Code of Alabama [1975], Section 22-11A-9) and should be kept long enough to cover the average life span of an individual patient as a reference source for reactivated cases.
- **Sexually Transmitted Disease (STD) Patient Case Files.** These records document the testing, diagnosis and treatment of cases of sexually transmitted diseases. The State Board of Health declares STDs as “contagious, infectious, and dangerous to public health” (Code of Alabama [1975], Section 22-11A-13) and these confidential medical records should be preserved for the average life span of individual patients for clinical reference needs.
- **Acquired Immune Deficiency Syndrome (AIDS) Positive Testing Records.** The agency offers free confidential AIDS/HIV antibody testing in all health centers/clinics. Pre and post test counseling are also offered, and referrals are made for clients who test HIV antibody positive. These positive laboratory test results for HIV/AIDS should be retained for the same length of time as medical records for TB and STD patients.
- **Onsite Sewage Disposal System Application and Maintenance Files.** These files document applications for permits to construct or repair conventional residential/commercial septic tank systems and all follow up approval or related activities performed by the agency staff. They provide documentation that may be of legal value as long as the system is in use.
- **X-Ray Machine Registration and Inspection Files/X-Ray Machine Shielding Evaluation Files.** These files document the agency staff members’ effort in regulating the use of x-ray machines. A typical file contains registration form, inspection reports, shielding evaluations, complaint records, and correspondence. The records are useful to the agency as long as the device is in use. Shielding evaluations are kept for a longer retention (20 years) because they can be used, in the event that a new x-ray facility utilizes the same area, to compare with the new facility’s design to see if existing shielding is adequate.
- **Radiation Exposure Reports.** Code of Alabama (1975), Section 22-14-8, requires each person who exposes or uses a source of ionizing radiation to maintain appropriate records showing radiation exposure. These reports are submitted by facilities to document radiation doses received by their employees when performing work. In accordance with the retention requirements of the U.S. Nuclear Regulatory Commission, and due to the potential litigation arising from the exposure to radiation, these records should be retained 50 years for reference.

- **Peer Review Files.** Developed by the department's providers (health care physicians) based on the treatment process of patients, this series contains information used by various providers to share their experience and to improve performance.

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Planning and Supervising the Public Health of the County

- **Mobile County Board of Health Meeting Agendas, Minutes, and Packets.** These records document proposed and executed proceedings of the Mobile County Board of Health. Meetings of the board are held once every month and may be called as needed. The meeting agendas, minutes, and packets serve collectively as the core documentation of the major functions of MCHD with regard to policy and the decision making processes. (RDA page 3-2) **(Bibliographic Title: Mobile County Board of Health Meeting Agendas, Minutes, and Packets)**
- **MCHD Rules, Regulations, Policies, and Procedures.** These are official bylaws, rules, regulations, policies, procedures, and protocols designed for the administration of the agency's programs and services. They may include procedural manuals, rules and regulations, instruction guides, handbooks, or other issuances that establish a course of action for the entire department or a specific service program. (RDA page 3-2) **(Bibliographic Title: Publications)**

Responding to Natural and Manmade Disasters

- **Mobile County Health Department Safety Committee Meeting Minutes and Reports.** The department has an internal safety committee in place to conduct and review periodic hazard surveillance and risk assessments, evaluate the effectiveness of the agency in the performance of fire and other emergency preparedness drills, and respond to other safety related incidents. This series contains meeting minutes and annual reports of the committee. (RDA page 3-5) **(Bibliographic Title: Mobile County Health Department Safety Committee Meeting Minutes and Reports)**
- **After Action Reports.** This series consists of how many team members were activated, how long they were activated, what type of event or disaster they monitored, the mobilization of shelters and location of shelters and the teams that were working the shelters. (RDA page 3-6) **(Bibliographic Title: After Action Reports)**

Providing Outpatient Health Care Services to the Public

- **Narcotics Dispense Records.** These records document the dispensing of controlled substances in order to track their distribution. They are to be retained permanently in accordance with the federal regulation (21 CFR1304).

Recording and Providing Access to Vital Records

- **Birth/Death Records, Amendments, and Other Vital Records Filed Prior to 1908.** As a result of the implementation of an electronic transmission system by the State Center for Health Statistics in 1996, the agency is no longer required to create and keep birth/death certificates and other vital records, with the exception of records filed prior to the creation of the State Center for Health Statistics in 1908. All vital records created and filed with the MCHD prior to 1908 should be preserved permanently as they are the only copies in existence. (RDA page 3-8) **(Bibliographic Title: Vital Records)**

Educating and Informing Professionals and the Public

- **Still Photographs, Audio/Video Recordings, Publications, and Scrapbooks.** To supplement and preserve a record of the department's history, services, and programs, MCHD staff members create and maintain a collection of photographs, audio/video recordings, various publications, and scrapbooks. These records serve as illustrations in various departmental publications or as visual displays of program activities. (RDA page 3-8) **(Bibliographic Title: [1] Audio-Visual Materials; [2] Publications)**

Preparing Periodic Reports

- **Annual Reports of the Mobile County Health Department.** These reports are created to highlight the achievements and impact of the agency's services during the previous year. The format of these reports are a combination of narrative summary and statistical data. (RDA page 3-9) **(Bibliographic Title: Publications)**
- **Various Program Annual Reports.** This series consists of various periodic reports created by the department's programs. They may include, but are not limited to, HIV Program Annual Reports and Emergency Response Annual Reports. (RDA page 3-9) **(Bibliographic Title: Publications)**
- **Bimonthly Employee Newsletters.** The bimonthly employee newsletters consist of information to keeping agency staff informed about any events that are happening in the MCHD, it also features the employee of the month, all newly hired employees, and events that MCHD may be involved in the community. (RDA page 3-9) **(Bibliographic Title: Bimonthly Employee Newsletters)**

Administering Internal Operations

- **Administrative Files of the Mobile County Health Officer.** These records document the activities of the health officer in directing the work of the department and in enforcing policy. This series may include correspondence, memoranda, speeches, and other related materials. They are part of the core documentation of the department and should be preserved permanently. (RDA page 3-9) **(Bibliographic Title: Administrative**

Files of the Mobile County Health Officer)

- **Website.** The agency maintains a website at www.mobilecountyhealth.org. Information on the website includes the agency's history, members of the board of health, financial data, organizational chart, reports, inspection scores for restaurants/hotels, health-related statistics, and searchable guides to services. The website should be preserved as it serves as an important medium for communication with the public.(RDA page 3-10)
(Bibliographic Title: Website)

- **Building Plans and Specifications.** Known as the Major General William C. Gorgas Clinic, the department's headquarters was a historic building constructed in 1838 as the U.S. Marine Hospital. It treated injured Confederate and Union soldiers during the Civil War. The hospital ceased operation in 1952. The Mobile County Board of Health acquired the property from the Tuberculosis Association in 1975 and restored the building. These building plans and specifications document the original structure and changes (additions to the rear of the building) to this historic building. (RDA page 3-13)
(Bibliographic Title: Building Plans and Specifications)

- **Inventory Lists.** The Code of Alabama 1975, Section 36-16-8[1] requires that “. . . All [state agency] property managers shall keep at all times in their files a copy of all inventories submitted to the Property Inventory Control Division, and the copies shall be subject to examination by any and all state auditors or employees of the Department of Examiners of Public Accounts.” These files need to be maintained in the agency's office.

Permanent Records List*

Mobile County Health Department

Planning and Supervising the Public Health of the County:

1. Mobile County Board of Health Meeting Agendas, Minutes, and Packets
2. MCHD Rules, Regulations, Policies, and Procedures

Responding to Natural and Manmade Disasters:

1. Mobile County Health Department Safety Committee Meeting Minutes and Reports
2. After Action Reports

Providing Outpatient Health Care Services to the Public:

1. Narcotics Dispense Records

Recording and Providing Access to Vital Records:

1. Birth/Death Records, Amendments, and Other Vital Records Filed Prior to 1908

Educating and Informing the Professional and the Public:

1. Still Photographs, Audio/Video Recordings, Publications, and Scrapbooks

Preparing Periodic Reports:

1. Annual Reports of Public Health Area/County Health Officer/County Department
2. Various Program Annual Reports
3. Bimonthly Employee Newsletters

Administering Internal Operations:

1. Administrative Files of the Mobile County Health Officer
2. Website
3. Building Plans and Specifications
4. Inventory Lists

* All permanent records are scheduled for preservation in the agency's archival records storage area which the agency plans to establish.

Mobile County Health Department Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975, Sections 41-13-5 and 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Mobile County Health Department. The RDA lists records created and maintained by the Mobile County Health Department in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the department to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Sections 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Mobile County Health Department's records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain other short-term records that do not materially document the work of an agency may be disposed of under this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original

record for the period required; and (2) transitory records, which are temporary records created for internal purposes that may include, but are not limited to, telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities. They may be disposed of without documentation of destruction. Other items that may be disposed of without destruction documentation include: (1) catalogs, trade journals, and other publications received that require no action and do not document government activities; and (2) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Mobile County Health Department and lists the groups of records created and/or maintained by the department as a result of activities and transactions performed in carrying out these subfunctions. The department may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

Planning and Supervising the Public Health of the County

MOBILE COUNTY BOARD OF HEALTH MEETING AGENDAS, MINUTES, AND PACKETS

Disposition: PERMANENT RECORD.

MCHD RULES, REGULATIONS, POLICIES, AND PROCEDURES

Disposition: PERMANENT RECORD.

Protecting the Environmental Health of the Community

Applications for Permits (Limited Food Service, Restaurants, Deli, Limited Retail, Bars/Lounges, Commissaries, Mobile Units, Processing Plants, Bakeries, Specialty Shops, Meals on Wheels, Caterers, Charitable Kitchens, Seafood Shops, Grocery Stores/Meat Markets, Private Schools, Public Schools, Day Care Center Kitchens and Sanitation, Summer Lunch Preparation Sites, Head Starts, Jails, Institutions, Detention Facilities, Hotels Pools, Spas, Camps)

Disposition: Temporary Record. Retain 3 years.

Applications for Tattoo Artist Permits

Disposition: Temporary Record. Retain 5 years.

Alternative On-site Sewage Disposal System Application Files
Disposition: Temporary Record. Retain until the system is no longer in use.

Notices of Intent to Suspend/Revoke Permits
Disposition: Temporary Record. Retain 3 years.

Surveys of Private On-site Sewage Disposal Systems
Disposition: Temporary Record. Retain 1 year.

Site Evaluations for On-site Sewage Disposal Systems (Perk Tests)
Disposition: Temporary Record. Retain 3 years.

Certificates for Installers of On-site Sewage Disposal Systems
Disposition: Temporary Record. Retain 3 years.

Bacteriological Tests for Drinking Water
Disposition: Temporary Record. Retain 1 year.

Body Art Facilities and Operators Applications
Disposition: Temporary Record. Retain 5 years.

Complaint Records (Limited Food Service, Restaurants, Deli, Limited Retail, Bars/Lounges, Commissaries, Mobile Units, Processing Plants, Bakeries, Specialty Shops, Meals on Wheels, Caterers, Charitable Kitchens, Seafood Shops, Grocery Stores/Meat Markets, Milk Plants, Dairies, Private Schools, Public Schools, Day Care Center Kitchens and Sanitation, Summer Lunch Preparation Sites, Head Starts, Jails Institutions, Detention Facilities, Hotels Pools, Spas, Camps, Body Art Facilities, Mold and Mildew in Public Buildings, Foodborne Illness and other general sanitation complaints)
Disposition: Temporary Record. Retain 3 years after the settlement of the complaint.

Demolition/Renovation Project for Facilities with Asbestos-Containing Materials Files
Disposition: Temporary Record. Retain 5 years.

Food Handler Training Certificates
Disposition: Temporary Record. Retain 2 years.

Inspection Records (Limited Food Services, Restaurants, Delis, Limited Retail, Bars/Lounges, Commissaries, Mobile Units, Processing Plants, Bakeries, Specialty Shops, Meals on Wheels, Temporary Foods, Caterers, Charitable Kitchens, Seafood Shops, Grocery Stores/Meat Markets, Milk Processing Plants, Dairy Farms, Bulk Milk Hauler, Bulk Milk Pickup Tanker, Dairy Plant, Private School Kitchens, Public School Sanitation, Day Care Centers Kitchens, Day Care

Centers Sanitation, Summer Lunch Preparation Sites, Summer Lunch Distribution Sites, Head Start Kitchens, Head Start Sanitation, Jail Kitchens, Jail Sanitation, Institution Kitchens, Institution Sanitation, Detention Facility Kitchens, Detention Facility Sanitation, Hotel Sanitation, Body Art Facilities, Pools, Spas, Camp Kitchens, Camp Sanitation, Public Buildings for Mold and Mildew and others)

Disposition: Temporary Record. Retain 3 years.

Lead-In Paint Survey Files

Disposition: Temporary Record. Retain 5 years.

Odor Complaint Forms

Disposition: Temporary Record. Retain 5 years.

On-Site Sewage Disposal System Applications and Maintenance Files

Disposition: Temporary Record. Retain until the system is no longer in use.

Public Hearing Records

Disposition: Temporary Record. Retain 5 years.

Public Swimming Pool Construction Files

Disposition: Temporary Record. Retain: Retain until the pool is no longer in use.

Public Swimming Pool Operation and Inspection Reports

Disposition: Temporary Record. Retain 5 years.

Rabies Exposure Reports

Disposition: Temporary Record. Retain 3 years.

Official Notices of Violations of Rabies Vaccination Law

Disposition: Temporary Record. Retain 3 years.

Rabies Violation Citations

Disposition: Temporary Record. Retain 3 years.

Emergency Orders of the Health Officer

Disposition: Temporary Record. Retain 3 years.

Radiation Exposure Reports

Disposition: Temporary Record. Retain 50 years.

Radioactive Materials Licenses (copies)
Disposition: Temporary Record. Retain 5 years.

Radioactive Materials Use Logs
Disposition: Temporary Record. Retain 50 years after last entry.

Subdivision Files
Disposition: Temporary Record. Retain for useful life.

Tanning Device Facility Inspection Reports
Disposition: Temporary Record. Retain until the completion of one audit and the release of the audit report.

Tanning Device Facility and Inspection Files
Disposition: Temporary Record. Retain 3 years after the termination of the permit.

Vector Control Files
Disposition: Retain in office.

Sanitary Surveys
Disposition: Temporary Record. Retain for useful life.

X-Ray Machine Reports
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

X-Ray Machine Registration and Inspection Files
Disposition: Temporary Record. Retain 3 years after the termination of the registration.

X-Ray Machine Shielding Evaluation Files
Disposition: Temporary Record. Retain 20 years after the termination of the registration.

Responding to Natural and Manmade Disasters

MOBILE COUNTY HEALTH DEPARTMENT SAFETY COMMITTEE MEETING
MINUTES AND REPORTS
Disposition: PERMANENT RECORD.

Disaster Response Logs
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

AFTER ACTION REPORTS

Disposition: PERMANENT RECORD.

Controlling the Outbreak and Spread of Communicable Diseases

Acquired Immune Deficiency Syndrome (AIDS / HIV) Positive Testing Records

Disposition: Temporary Record. Retain 75 years.

Acquired Immune Deficiency Syndrome (AIDS / HIV) Negative Test Results

Disposition: Temporary Record. Retain 3 years.

Certificates of Religious Exemption from Immunization

Disposition: Temporary Record. Retain 10 years.

Certificates of Selective Exemption from Immunizations

Disposition: Temporary Record. Retain 10 years.

Communicable Disease Investigation and Notification Files

Disposition: Temporary Record. Retain 5 years.

Copies of Disease Case Reports

Disposition: Temporary Record. Retain 5 years.

State Audit Immunization Survey Records (Schools, Day Care Centers, and Two-year-old Children)

Disposition: Temporary Record. Retain 3 years or until the completion of next survey.

Sexually Transmitted Diseases (STD) Patient Case Files

Disposition: Temporary Record. Retain 75 years.

Tuberculosis Patient Case Files

Disposition: Temporary Record Retain 75 years.

Providing Outpatient Health Care Services to the Public

Health Center/Clinic Appointment Logs, Sign-in Sheets, and Telephone Logs

Disposition: Temporary Record. Retain 3 years.

Health Center/Clinic Patient Encounter Forms

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Health Center/Clinic Patient Medical Records

Disposition: Temporary Record. Retain 22 years after the date of last patient visit.

Dental Records

Disposition: Temporary Record. Retain 22 years after the date of last patient visit.

Laboratory Back Up Test Results

Disposition: Temporary Record. Retain 3 years.

Laboratory Equipment Maintenance Files

Disposition: Temporary Record Retain for the life of the instrument.

Laboratory Results

Disposition: Temporary Record. Retain 22 years after the date of last patient visit.

Laboratory Testing Quality Assurance and Staff Competency Evaluation Files

Disposition: Temporary Record. Retain 3 years.

NARCOTICS DISPENSE RECORDS

Disposition: Permanent Record. Retain in office in accordance with federal regulation (21 CFR 1304).

Narcotics Permits

Disposition: Temporary Record. Retain 6 years after the expiration of the permit.

Pharmacy Records (Inventory, Order Forms, Prescriptions)

Disposition: Temporary Record. Retain 2 years.

Vaccine Administrative Slips (Signed by the Nurse Giving the Immunization)

Disposition: Temporary Record. Retain 75 years.

Vaccine Inventory and Temperature Graphs Monthly Reports

Disposition: Temporary Record. Retain 1 year.

Vaccine Statements (Signed by the Patient or the Legal Guardian of the Patient)

Disposition: Temporary Record. Influenza: Retain 10 years; All Others: Retain 75 years.

Women, Infants, and Children (WIC) Administrative Files (Requisition Files, Quality Assurance Audits, Travel Vouchers)

Disposition: Temporary Record. Retain 7 years.

Women, Infants, and Children (WIC) Program Administrative Files (Eligibility Certification Files, Food Instrument Registers, Vendor Files, Inventory Logs, Formula Logs, Correspondence, Financial Records, Nutrition Education Plans, Health Promotions, Waiting list, Complaint Forms, Training Reports and various program management reports).

Disposition: Temporary Record. Retain 3 ½ years after the end of the fiscal year in which the records were created.

Recording and Providing Access to Vital Records

BIRTH/DEATH RECORDS, AMENDMENTS, AND OTHER VITAL RECORDS FILED PRIOR TO 1908.

Disposition: PERMANENT RECORD.

Applications for Vital Records

Disposition: Temporary Record. Retain 3 years after the fiscal year in which the records were created.

Notices of Disinterment/Disinterment Permits

Disposition: Temporary Record. Retain 5 years from issue.

Educating and Informing Professionals and the Public

STILL PHOTOGRAPHS, AUDIO/VIDEO RECORDINGS, PUBLICATIONS, AND SCRAPBOOKS

Disposition: PERMANENT RECORD.

Photograph publication permission forms

Disposition: Temporary Record. Retain 3 year after photograph is published.

Preparing Periodic Reports

ANNUAL REPORTS OF THE PUBLIC HEALTH AREA/COUNTY HEALTH OFFICER/COUNTY DEPARTMENT

Disposition: PERMANENT RECORD.

VARIOUS PROGRAM ANNUAL REPORTS

Disposition: PERMANENT RECORD.

BIMONTHLY EMPLOYEE NEWSLETTERS

Disposition: PERMANENT RECORD.

Various Program Periodic Reports

Disposition: Temporary Record. Retain until the release of the annual reports.

Administering Internal Operations

Managing the Agency:

ADMINISTRATIVE FILES OF THE MOBILE COUNTY HEALTH OFFICER

Disposition: PERMANENT RECORD.

Internal Committee and Staff Meeting Agenda and Minutes

Disposition: Temporary Record. Retain 1 year.

Routine Correspondence

Disposition: Temporary Record. Retain: 3 years after the end of the fiscal year in which the records were created.

Mailing Lists

Disposition: Temporary Record. Retain for useful life.

Printouts of Acknowledgment from the Secretary of State Relating to Notices of Meetings Posted by State Agencies

Disposition: Temporary Record. Retain 3 years.

Records documenting the implementation of the agency's approved RDA (copies of transmittal forms to the Archives and the State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)

Disposition: Temporary Record. Retain: Retain 3 years after the end of the fiscal year in which the records were created.

WEBSITE

Disposition: PERMANENT RECORD. PRESERVE A COMPLETE COPY OF WEBSITE ANNUALLY OR AS OFTEN AS SIGNIFICANT CHANGES ARE MADE.

System documentation (hardware/software manuals and diskettes, warranties)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated into a new system.

Performance Improvement:

Peer Review Files

Disposition: Temporary Record. Retain 5 years.

Legal:

Legal Case Files

Disposition: Temporary Record. Retain 6 years after the case is closed.

Investigation Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the case is closed.

Subpoenas

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the case is closed.

Records documenting Equal Employment Opportunity Commission (EEOC) complaints and lawsuits

Disposition: Temporary Record. Retain 5 years after settlement.

Legal Opinions of General Counsel

Disposition: Temporary Record. Retain for useful life.

Managing Finances:

Records documenting the preparation of a budget package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance

Disposition: Temporary Record. Retain: 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of original entry or routine accounting transactions, such as journals, registers, ledgers, and funds deposited outside the state treasury.

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting requests for authorization from supervisors to travel on official business either within or outside the state, and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting contracts for services or personal property
Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Records documenting the bid process, including requests for proposals and unsuccessful responses
Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.

Informal Quotes – documents solicited quotations for purchases that do not require competitive bidding
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Audit Reports
Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

Health Care Program Grant Project Financial Files
Disposition: Temporary Record. Retain 6 years following the date service was provided.

Federal-funded Grant Project Financial Files
Disposition: Temporary Record. Retain 6 years following the date of submission of the final expenditure report.

State-funded Grant Project Financial Files
Disposition: Temporary Record. Retain: 6 years following the end of the fiscal year in which the last transaction occurred.

Grant Project-related Property Inventory Files
Disposition: Temporary Record. Retain 3 years after the final disposition of property.

Medicare Cost Report Files
Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created or until the final settlement of the cost report.

Financial Management Reports
Disposition: Temporary Record.

A. If final end-of-the-year reports are generated: Retain the final report 3 years after the end of the fiscal year in which the records were created.

B. If no final end-of-the-year reports are generated: Retain all reports 3 years after the end of the fiscal year in which the records were created.

C. State-funded: Retain: 6 years following the end of the fiscal year in which the last transaction occurred.

Billing Records of the Department's Central Billing Office (Explanation of Payments and Response Files)

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created.

Health Center/Clinic Payment Deposit Listings

Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the records were created.

Managing Human Resources:

Records documenting an employee's work history (employment application, resume, job descriptions, education transcript, performance evaluations, letters of recognition, and disciplinary actions)

Disposition: Temporary Record. Retain: 6 years after separation of the employee from the agency.

Payroll Registers

Disposition: Temporary Record. Retain 75 years.

Other records documenting payroll (e.g. pre-payroll reports, etc.)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting payroll deductions for tax purposes (including Form 941)

Disposition: Temporary Record. Retain 4 years after the end of the fiscal year in which the records were created.

Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting sick leave donations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the

records were created.

Employee Flexible Benefits Plan Files

Disposition: Temporary Record. General information – Retain until superseded.

Other (applications, correspondence) – Retain 6 years after termination of participation in program.

Unemployment Compensation Files

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the transaction occurred and settlement of any claims due.

Employee Drug Screening Reports

Disposition: Temporary Record. Retain 5 years.

Employee Incident Reports

Disposition: Temporary Record. Retain 5 years.

Employee Supplemental Retirement Plan Files

Disposition: Temporary Record. Retain: 6 years after separation of the employee from the agency.

Managing Properties, Facilities, and Resources:

BUILDING PLANS AND SPECIFICATIONS

Disposition: PERMANENT RECORD.

Semiannual Inventory Lists

Disposition: Permanent Record. Retain in office. (Code of Alabama 1975, Section 36-16-8 [1]).

Transfer of State Property Forms (SD-1) (Agency copies)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Property Inventory Cards and/or Computer Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the items were removed from inventory.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Facilities/Building Security Records

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the

records were created.

Vehicle and Equipment Maintenance Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the property is sold or replaced.

Blue Prints of Buildings

Disposition: Permanent Record.

Fire and Safety Equipment Inspection Records

Disposition: Temporary Record. Retain 7 years.

Safety Committee Annual Reports

Disposition: Temporary Record. Retain 7 years.

Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)

Under the Code of Alabama 1975, Section 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Mobile County Health Department (hereafter referred to as the agency) as stipulated in this document.

One condition of this authorization is that the agency submits an annual Records Disposition Authority Implementation Report on agency records management activities, including documentation of records destruction, to the State Records Commission in April of each year. In addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.
- Permanent records in the agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.

- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis--for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency maintains records solely in electronic format, it should employ an electronic records management system that is capable of tying retention and disposition instructions to records in the system and of purging temporary records when their retention periods expire. The agency is committed to funding any system upgrades and migration strategies necessary to ensure its records' preservation and accessibility for the periods legally required.
- Electronic mail contain permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA's requirements, the division should preferably employ an electronic records management system capable of sorting e-mail into folders and archiving messages having long-term value.
- The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the agency and inspect records destruction documentation. Government Records Division archivists are available to instruct the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this records disposition authority on April 29, 2009.

Edwin C. Bridges, Chairman, by Tracey Berezansky
State Records Commission

Date

Receipt acknowledged

Bernard H. Eichold II, Health Officer
Mobile County Health Department

Date