

# **Alabama Department of Public Health**

## **Functional Analysis & Records Disposition Authority**

**Revision  
Presented to the  
State Records Commission  
April 24, 2013**

# Table of Contents

|  |    |
|--|----|
| Functional and Organizational Analysis of the Alabama Department of Public Health                  |    |
| Sources of Information .....   | 2  |
| Historical Context .....   | 2  |
| Agency Organization .....  | 3  |
| Agency Functions and Subfunctions .....  | 5  |
| Analysis of Record Keeping System and Records Appraisal of the Alabama Department of Public Health |    |
| Agency Record Keeping System .....   | 8  |
| Records Appraisal .....  | 9  |
| Temporary Records .....  | 9  |
| Permanent Records .....  | 11 |
| Permanent Records List .....   | 17 |
| Alabama Department of Public Health Records Disposition Authority                                  |    |
| Explanation of Records Requirements.....   | 19 |
| Records Disposition Requirements.....  | 20 |
| General Administration .....   | 20 |
| Bureau of Children’s Health Insurance Program .....  | 21 |
| Bureau of Clinical Laboratories.....   | 23 |
| Bureau of Communicable Disease.....  | 24 |
| Office of Emergency Medical Services and Trauma .....  | 26 |
| Center for Emergency Preparedness .....  | 26 |
| Bureau of Environmental Services .....   | 26 |
| Office of Facilities Management .....  | 28 |
| Bureau of Family Health Services .....   | 28 |
| Bureau of Financial Services .....   | 33 |
| Office of General Counsel.....   | 36 |
| Bureau of Health Promotion and Chronic Disease.....  | 36 |
| Bureau of Health Provider Standards.....   | 37 |
| Center for Health Statistics.....  | 42 |
| Bureau of Home and Community Services .....  | 43 |
| Office of Human Resources.....   | 48 |
| Bureau of Professional and Support Services.....   | 50 |
| Office of Program Integrity.....   | 51 |
| Office of Radiation Control.....   | 52 |
| Office of State Health Officer .....   | 52 |
| Requirement and Recommendation for Implementing the Records Disposition Authority.....             | 52 |

# **Functional and Organizational Analysis of the Alabama Department of Public Health**

## **Sources of Information**

Representatives of the Alabama Department of Public Health  
Code of Alabama 1975, Section 9-2-126; Sections 16-1-16.1 and 16-30-1;  
    Sections 22-1-1 through 22-2-14; Section 22-9A-1 through 28; Section 22-21-310  
    through 359; Section 36-25A-1 to 11 and, Section 41-22-1 through 41-22-27  
Code of Alabama 1940, Sections 22-1-1 through 140  
Code of Alabama 1907, Sections 22-1-698 through 733  
Code of Alabama 1876, Chapter 4, Sections 1528 through 1543  
Acts of Alabama, No. 34 (1874-1875), No. 92-658 (1992), and No. 97-893 (1997)  
Alabama Administrative Code (AAC) Chapter 420-1 through 420-11  
Alabama Government Manual  
Code of Federal Regulations (CFR) 21 Parts 1-1270; and, 42 Parts 2-494  
Alabama Department of Public Health Audit Reports  
Alabama Department of Public Health Publications  
Holdings of the Alabama Department of Archives and History for the State Board of Health and  
the Department of Public Health  
Government Records Division, Alabama Department of Public Health, State Agency Files

## **Historical Context**

Prior to the 1875 creation of the State Board of Health, the Medical Association of the State of Alabama and each of the county medical societies monitored the incidence of disease, researched the cause and effect of illness and disease on the people of the state, and established qualifications for medical practice within the state. In 1869, the creation of state boards of health in Massachusetts and California established the authority of the state to take care of the public's health and to investigate the causes of epidemic and disease. At the 1872 meeting of the Medical Association of the State of Alabama, Dr. Jerome Cochran submitted a plan for the organization of a state board of health in Alabama. The association adopted the plan at its 1873 annual meeting and presented draft legislation during the 1874-1875 session of the legislature. This legislation established the State Board of Health and authorized the creation of boards of health in each county. Alabama was the first state to organize a basic county health department in each of its 67 counties. This process was completed in late 1937. Alabama created the office of State Health Officer in 1877 to exercise general supervision over the county boards of health. The first State Health Officer took office in 1879.

## Agency Organization

The organizational structure of the Alabama Department of Public Health is as follows: the State Board of Health, the State Committee of Public Health, the State Health Officer, and the Department of Public Health. The State Board of Health supervises the enforcement of health laws. Below it is the State Committee of Public Health that may act for the State Board of Health and elects the State Health Officer. The State Health Officer is the executive officer of the Department of Public Health. Below is a discussion of the duties and powers of each these entities.

**State Board of Health:** The State Board of Health (“the board”), created in 1875, exercises general control over the enforcement of public health laws. The board acts as an advisory board to the state in all medical matters and matters of sanitation and public health, and it assists and advises all county boards of health, health officers, and quarantine officers. The board adopts and promulgates rules and regulations for administering health and quarantine laws. The board prescribes the content for reporting vital events and for transporting dead bodies through the state. The board is empowered to collect information on certain diagnosed diseases of public health significance and to act accordingly to prevent or limit their spread in the community. The composition of the board consists of the Board of the Medical Association of the State of Alabama that serves in *ex officio* status. The board meets annually.

**State Committee of Public Health:** The State Committee of Public Health (“the committee”) is composed of twelve members of the Medical Association of the State of Alabama and the chairpersons of four councils created by statute in 1973. These are the Council on Dental Health, Council on Animal and Environmental Health, Council on Prevention of Disease and Medical Care, and the Council on Health Costs, Administration, and Organization. The committee, which meets monthly between the annual meetings of the board, acts for the board when it is not in session and has all the powers and duties of the board.

**State Health Officer:** The State Health Officer, whom the committee elects, serves as executive officer of the Department of Public Health. The committee determines the authority and duties of the State Health Officer, subject to any regulations prescribed by the Alabama Legislature. The State Health Officer executes laws, policies, rules, and regulations concerning public health, exercises certain supervision over county and municipal health organizations, and is required to keep informed as to public health conditions throughout the state. The State Health Officer informs the governor concerning state health conditions, particularly the status of infectious and contagious diseases. As chief administrative officer of the Department of Public Health, the State Health Officer hires all necessary departmental personnel, sets salaries subject to the approval of the State Personnel Board, and issues or provides for issuing permits required by establishments open to public use.

The State Health Officer by state statute serves on the Alabama Anatomical Board; Alabama Building Commission; Alabama Children's Policy Council; Alabama Commission on Girls and Women in the Criminal Justice System; Alabama Council on Family and Children; Alabama Dry Cleaning Environmental Response Trust Fund Advisory Board; Alabama's HIV Commission for Children, Youth, and Adults; Alabama Pollution Control Authority; Alabama Prescription Cost Initiative Board; Alabama Public Health Care Authority; Alabama Radiation Advisory Board of Health; Alabama Resource Development Committee; Alabama Senior Services Board; Alabama Water Resources Advisory Council; Board of Medical Scholarship Awards; Children's Trust Fund; Children's Health Insurance Commission; Controlled Substances Prescription Database Advisory Committee; Emergency Medical Services Advisory Board; Governor's Interagency Coordinating Council; Healthcare Data Advisory Council; State Children's Services Facilitation Team (Multiple Needs Child); Pesticides Advisory Committee; Special Task Force on Chronic Kidney Disease (chair); State Child Abuse and Neglect Board; State Child Death Review Team; State Obesity Task Force; Statewide Health Coordinating Council; Statewide Trauma Advisory Council; Youth Services Board; as well as other non-statutory boards and groups.

**Department of Public Health:** The Department of Public Health ("the department") executes public health policy for the state as determined by the board, the committee, and as authorized by law. In all actions the department acts in the name of the board and the committee (Code of Alabama 1975, Section 22-1-2). The department investigates the effect of communicable debilitating diseases; issues policies and procedures to be used to limit and/or eradicate illnesses in the citizens of this state; investigates all places, institutions, establishments, and other public centers and prescribes the methods to correct any conditions prejudicial to health; provides health care services to the citizens of the state; and, registers all births, deaths, marriages, and divorces.

Currently, the department is organized into various bureaus, centers, and offices. Eleven public health areas supervise and coordinate the work of 67 county health departments where staff provides a variety of health services directly to the public. Each public health area reports to an area health officer or administrator who reports to the State Health Officer. The organizational structures of the county health departments vary from county to county according to the number of clients served and the complexity of programs. The county health departments are under the general control and supervision of the county boards of health. Members of the county boards are physicians chosen by the county medical societies of their respective counties. The presiding officers of each county commission are also members of the boards in their county. County health officers, elected by the county board and subject to the approval of the committee, direct the work of the county health departments. The county health officer works under the direction of the State Health Officer and the county board of health and has "sole direction of all sanitary and public health work within the county." (Code of Alabama 1975, Section 22-3-4).

## Agency Functions and Subfunctions

The mandated functions of the department are to exercise general control over the enforcement of public health laws, and to perform the direct service of providing medical services to those who are unable to receive medical treatment through private channels. The department is one of the agencies responsible for carrying out the Policy and Statute Development function, the Regulatory function, and the Client Services function of Alabama government. In performance of its mandated functions, the department may engage in promulgating health care standards, enforcing health care standards, providing health care services, providing public health information and education, filing vital records and providing health statistics, and administering internal operations through the following bureaus/centers/offices.

- **General Administration:** General Administration is not an office unit within the department. Administrative records that are common to all bureaus/divisions/offices, such as routine correspondence, are listed here for ready reference by all staff members of the agency. All bureaus/divisions/offices must follow the records retention requirements listed under General Administration in the disposition of their respective records.
- **Bureau of Children’s Health Insurance:** This bureau administers the Children’s Health Insurance Program, known as ALL kids, which provides low-cost, comprehensive health care coverage to uninsured children in Alabama.
- **Bureau of Clinical Laboratories:** The mission of this bureau is to lead the state through laboratory science to improve and protect the residents’ health by testing and providing test data in support of disease surveillance and policy decisions. It has a main laboratory in Montgomery and a specialty testing laboratory in Mobile.
- **Bureau of Communicable Disease:** The mission of this bureau is to prevent and control designated communicable diseases and illnesses in Alabama.
- **Office of Emergency Medical Services and Trauma:** This office is responsible for protecting the health, safety, and welfare of the public by assuring that emergency medical services provided by ambulance services, emergency medical response agencies, training entities, and emergency medical technicians meet or exceed established standards.
- **Center for Emergency Preparedness:** This center provides direction to and management of the department’s assessment, planning, and response to acts of bioterrorism; outbreaks of infectious disease; and other public health threats and emergencies.
- **Bureau of Environmental Services:** This bureau ensures the safety of Alabamians by regulating food, milk, lodging, seafood, soil and onsite sewage, indoor air quality/lead, and solid waste levels.
- **Office of Facilities Management:** This office ensures safe and suitable conditions in the built environment for the department employees and occupants of licensed health care facilities.

- **Bureau of Family Health Services:** This bureau protects and promotes the health and safety of women, infants, children, youth, and their families in Alabama through assessment of community health status, development of health policy, and assurance that quality health services are available.
- **Bureau of Financial Services:** This bureau provides financial and cost accounting, accounts receivable, payroll, accounts payable, purchasing, budgeting, grant accounting, production planning, and administrative support to accomplish its goals in financial and cost accounting, reporting, and management of the department.
- **General Counsel:** This office provides legal advice and representation, issues opinions, and interprets public health law and establishes policy for implementation.
- **Bureau of Health Promotion and Chronic Disease:** This bureau manages programs related to chronic disease prevention, cancer prevention, disability prevention, communications and health marketing, health education, public information, risk communication, risk surveillance, worksite wellness, and video communications and distance learning.
- **Bureau of Health Provider Standards:** This bureau regulates health care providers in order to improve quality of care and life for health care consumers and to reduce adverse outcomes.
- **Center for Health Statistics:** This center operates the vital records system and collects and tabulates health-related statistical data for the state of Alabama. The center is responsible for registering and preserving certain records of vital events that occur in Alabama and for providing access to certified copies.
- **Bureau of Home and Community Services:** This bureau administers the statewide Home Care Program in partnership with county, area and state level staff to fulfill its mission to ensure delivery of compassionate and effective health care services in the home and community while striving to be consistently responsive and innovative in meeting the changing health care needs of Alabama citizens.
- **Office of Human Resources:** This office reviews and processes request for personnel actions such as new hires, promotions, transfers, dismissals, leave reports, performance appraisals, and disciplinary actions.
- **Bureau of Information Technology:** This bureau plans, provides, and supports the information and logistics needs of the department.
- **Bureau of Professional and Support Services:** This bureau supports a variety of important department initiatives and projects.

- **Office of Program Integrity:** This office provides assurances regarding the integrity of the department's financial systems, compliance with federal requirements, and compliance with applicable state laws and regulations.
- **Office of Radiation Control:** This office protects the public from excessive exposure to ionizing radiation.
- **Office of the State Health Officer:** The State Health Officer provides the day to day supervision to all office units within the agency, public health areas, and county health departments.

# **Analysis of Record Keeping System and Records Appraisal of the Alabama Department of Public Health**

## **Agency Record Keeping System**

The department operates a hybrid record keeping system composed of a local area network (LAN) on which the state's mainframe serves as one of the department's servers, a wide area network (WAN) connecting all of the county health departments, paper-based record keeping, and micrographics.

**Paper-Based Systems:** Most of the departmental records continue to be maintained in paper form. Duplication of records is perhaps the major cause of the volume of paper within the department. The departmental records management program operates out of the Bureau of Professional and Support Services.

**Information Technology:** The current information systems environment at the department is a combination of a client/server and mainframe operation. The department uses the State Data Center's IBM mainframe as the central repository for information generated and stored by many functional areas of the department. Some of the systems hosted on the mainframe include: the Advantage Financial Standard (AFNS), the Government Human Resources System (GHRS), Family Health Services Clinical activity and billing, Home and Community Services Billing, and vital records data. The department's central office in Montgomery is networked to the campus ring and the state mainframe. A midrange computer, the AS/400, is in the central office. It serves as host to the Vital Statistics Image Oriented Network (ViSION). In addition to the AS/400, numerous servers provide print serving, data serving, and application serving to the department.

Within the central office, most personal computers are networked via a collapsed backbone network to the computer operations facility. The department is currently connecting all area and county offices (over 100 sites) to the MPLS network managed by the Department of Finance, Information Services Division, providing T1 or better bandwidth. In 89 county sites, the Public Health of Alabama County Operations Network (PHALCON) resides on local area networks. Finally, numerous stand-alone personal computers (PC) are used throughout the department to assist personnel in performing word processing, accounting, and office management functions.

For the past 15 years, COBOL, RPG, and EZRetrieve language software have been used to develop in-house applications and retrieve special reports from files. Since 1997, the department adopted and began implementing applications using Powerbuilder for the graphical user interface for client server applications. The department has chosen Lotus Smartsuite as the standard office suite of software and Lotus Notes as the standard collaboration/E-mail package. Current systems use the VSAM file management system, sequential files on the mainframe, and BRetrieve on the PCs. On the AS/400, the database management system provided by IBM is used. Oracle is used as the standard client server relational database.

The department uses the following third-party systems: AFNS, GHRS, Horizon, Cancer Registry, Medical Indexing Classification and Retrieval System (MICAR), Emergency Medical Services System, Pregnancy Risk Assessment Monitoring System (PRAMS), Minimum Data Set (MDS), and several Centers for Disease Control and Prevention packages. In addition, the Department developed the following systems and they are in production use: PHALCON; Third Party Billing System; Home Health Billing System; ViSION; Family Health System; Women, Infants, and Children (WIC) System; Cost Accounting System; Licensure and Certification System; Office of Program Integrity System; and Statewide Immunization Information System (SIIS).

A complete system backup occurs weekly and is stored off-site. The department uses 8mm and 4mm tapes to store the system backup. A periodic incremental optical backup of new input occurs for the ViSION system. The AS/400 is backed up daily.

Other Technologies: The department, primarily the Center for Health Statistics, utilizes digital imaging as a records storage media. ViSION utilizes 5 1/4 inch optical disks to store vital events data for the state. Two optical libraries directly attach to the AS/400 house and manage the optical disk. Once a disk is full, it is backed up and stored off-site. An in-house developed relational database provides the indexing for the images. Scanned images are stored on the AS/400 and batch written to optical storage overnight. Many records are now registered electronically these web-based systems developed in house. Data from records registered using these web-based systems is stored on the AS/400 System as well. This data is backed up regularly as well. Some copies of older microfilm are stored at the Jefferson County Department of Health, but most are stored at the central office in a climate controlled room.

## **Records Appraisal**

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

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

- **Patient Encounter Forms.** The clinical areas of the county health departments utilize various types of patient encounter forms: family health, WIC, immunization, and disease control. These forms record each 'encounter' with a health department client and the services received for billing purposes.

- **Patient Medical Records.** Over a period of years, the patient medical record within the county health departments has grown and changed. Categorical patient program records were utilized at a time when each clinic operation had its own record area. An individual receiving multiple clinical services from the county would have multiple service records (examples: family planning, maternal health assistance, sexually-transmitted disease treatment, nutrition counseling, cancer detection, immunization, tuberculosis prevention, and hypertension). The Unified Medical Record (UMR), as implemented in 1983, combined these various service records into one case file from which a patient’s case history could be studied. The UMR utilized almost one hundred forms to document patient care. In 1996, to control the size of the patient case files, the Comprehensive Health Record (CHR) was instituted. It combines similar information onto a limited number of forms. Information in the CHR is largely duplicated within the PHALCON system that utilizes the CHR forms as input documents.
- **A-3s and Day Sheets.** The A-3 report provides a summary of services provided for the entire month by one county health department. The A-3 does not include services reported on the patient encounter form. The day sheet provides details of services performed and fees paid. The day sheets are balanced and closed out on a daily basis. The monthly recap of the day sheets summarizes the fee collections for the month and is sent to the central office for cost accounting purposes. Monthly and yearly statistics are pulled from these records. Copies of these forms remain at the county level for audit and reference purposes.
- **Public Health of Alabama County Operations Network (PHALCON).** PHALCON is a Windows-based application designed to assist in the management of services provided by the department in its clinics.
- **Pregnancy Risk Assessment Monitoring System.** The Center for Health Statistics manages the Pregnancy Risk Assessment Monitoring System (PRAMS). The system produces pregnancy risk assessment statistics using survey information from women who have recently given birth. Completed surveys are maintained per CDC guidelines.
- **Newborn Screening Test Reports.** Newborn screening records must be kept for a certain length of time after the child reaches legal age in the event they wish to sue because a “screened for” disease was not detected.
- **Newborn Screening Program Follow-up Patient Records.** Patient records that document follow-up of abnormal and out of range newborn screening test results. The retention period is strictly guided by consideration of the applicable statute of limitations. A minor has a right to file a cause of action two years beyond the 19<sup>th</sup> birthday, so that provides the 21 years. Alabama Code sections 6-2-8 and 6-2-38.
- **Child Lead Poisoning Prevention Follow-up Patient Records.** Patient records that document follow-up of abnormal lead test results. The retention period is strictly guided by consideration of the applicable statute of limitations. A minor has a right to file a cause of action two years beyond the 19<sup>th</sup> birthday, so that provides the 21 years. Alabama Code sections 6-2-8 and 6-2-32.
- **Asbestos Inspection Records.** Records are needed as they may be used as medical records or supporting documents for litigations or legal claims.

- **Lead Inspection Records.** Records are needed as they may be used as medical records or supporting documents for litigations or legal claims.

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

**General Administration:**

- **Audiovisual Files.** This series consists of audio and visual recordings produced by the department staff for departmental events and program promotion. Formats may include photos, slides, videos, audio recordings, and other related media. (RDA page 20) **(Bibliographic Title: Audiovisual Files)**
- **Grant Project Narrative Reports.** Various programs within the department routinely apply and receive grants from federal or state government. This series is composed of final narrative reports documenting the attainment of project goals and objectives as detailed in the grant applications. (RDA page 20) **(Bibliographic Title: Grant Project Narrative Reports)**
- **Meeting Agendas, Minutes, and Packets of Various Internal/External Entities.** This series contains proposed and executed proceedings of various internal/external entities. They may include, but are not limited to, State Emergency Medical Committee, Emergency Medical Services Education Commission, State Emergency Medical Services Advisory Board, Regional Trauma Advisory Council, Statewide Trauma and Health Systems Advisory Council, Statewide Trauma Funding Committee, Licensure Advisory Board, and Professional Advisory Council on Home Care. (RDA page 20) **(Bibliographic Title: Meeting Agendas, Minutes, and Packets of Various Internal/External Entities)**
- **News Releases and Public Service Announcements.** These records document news releases of the department on a variety of health topics including infant mortality, construction of new county health facilities, disasters, and policy decisions. These records are part of the core administrative documentation of the department. (RDA page 20) **(Bibliographic Title: News Releases and Public Service Announcements)**
- **Policy Clearinghouse Records.** These records provide a complete history file of policies issued by the State Board of Health, the State Committee of Public Health, the Department of Public Health, and the State Health Officer. This series may also include the following: Clinic Variance Requests, Case Management/Care Coordination Protocols, and other program procedures or manuals. They provide part of the core administrative documentation of the department. (RDA page 20) **(Bibliographic Title: Policy Clearinghouse Records)**

- **Publications.** The department publishes a variety of publications designed to inform the public, the governor, and other health-related agencies on health care issues and statistical measurements. Examples of these publications include the annual report, vital events reporting, brochures on patient services, posters outlining the seven public health areas, topical newsletters, and pamphlets on communicable diseases. These records are part of both the core administrative and core research documentation as they provide information on departmental rules and regulations and valuable statistics on vital events and diseases. (RDA pages 20) **(Bibliographic Title: State Publications)**
- **Website and Social Media Sites(s).** The department has a website at [www.adph.org](http://www.adph.org). Information on the website includes laws and regulations, application for service procedures, certificates/licenses/permits applications, news releases, events calendar, and a searchable database for the department's programs. The department also utilize social media sites (such as twitter) to interact with the general public. The website and social media sites should be preserved as they serve as important medium for communication with the public. (RDA pages 20) **(Bibliographic Title: Website and Social Media Sites)**

## **Bureau of Communicable Disease**

### **Epidemiology:**

- **Health Assessment and Consultation Reports.** Staff of the Epidemiology Division studies the distribution and determinants of diseases and health conditions that are of public health importance. Assistance is given on issues involving human exposure to chemical and other hazardous materials by conducting health assessments and consultations. Information in these reports supports the Hazardous Substance Emergency Even Surveillance System (HSEESS) which documents acute health effects caused by accidental releases of hazardous substances. (RDA pages 24) **(Bibliographic Title: Health Assessment and Consultation Reports)**
- **Notifiable Disease Case Report Records.** Data from the Notifiable Disease Case Reports is entered into a database from which various reports are generated to monitor disease distribution and occurrence, and for reporting to the Centers for Disease Control and Prevention. The ledgers are manual representations of the same data in statistical form. Information contained in this database has valuable research potential and is unavailable elsewhere in the state's public records. (RDA pages 24) **(Bibliographic Title: Notifiable Disease Case Report Records)**

### **HIV/AIDS Prevention and Control:**

- **HIV/AIDS Reporting System Data.** Data from the Confidential Case Reports is entered into the HIV/AIDS Reporting System (HARS) database. Various reports are generated utilizing data from this system to monitor disease distribution and statewide occurrence data, and to report to the Centers for Disease Control and Prevention. Information contained in this database has valuable research potential and is unavailable elsewhere in the state's public records. (RDA pages 24) **(Bibliographic Title: HIV/AIDS Reporting System Data)**

## **Immunization:**

- **Signed Vaccine Administration Slips (Retain in Office).** This paper is a part of the medical record. Information on the form is captured for the following reasons: a vaccine recall, a person complains of some type of reaction to the vaccine or any component of the vaccine, or, if there is no uniform medical record for the individual, this slip serves as a record that the individual did receive the vaccine.

## **Sexually Transmitted Disease (STD) Control:**

- **STD Congenital Syphilis Surveys.** This record series consists of demographic and treatment information about a mother and an infant who tested positive for syphilis in the serologic test. These documents also contain past treatment information about the mother and any current signs and symptoms of both mother and infant or complications in the infant. (RDA pages 25) (**Bibliographic Title: STD Congenital Syphilis Surveys**)
- **Congenital Syphilis (CS) Case Investigation and Reports.** This series is a reporting form authorized by law (Public Health Services Act 42USC241, OMB Approval No. 0920-0128) to report congenital syphilis cases and is required in all sexually transmitted disease project areas. (RDA pages 25) (**Bibliographic Title: Congenital Syphilis [CS] Case Investigation and Reports**)

## **Tuberculosis (TB) Control:**

- **TB Clinical Records.** The TB Case files are permanent records because they contain specific details about patients with active TB disease, including drug susceptibility, DNA fingerprinting/gentotyping of specific strains etc. They contain valuable information about contacts to with these patients regarding treatment for latent TB infection or active TB. (RDA pages 25) (**Bibliographic Title: TB Clinical Records**)

## **Office of Emergency Medical Services and Trauma**

- **Hazardous Substance Emergency Event Surveillance System Data.** Data compiled on the acute health effects caused by the accidental release of hazardous substances is entered into the Hazardous Substance Emergency Event Surveillance System (HSEESS) and studied in order to develop methods for reducing the number of victims and the severity of injuries. Information contained in this database has valuable research potential and is unavailable elsewhere in the state's public records. (RDA pages 26) (**Bibliographic Title: Hazardous Substance Emergency Event Surveillance System Data**)

## **Office of Facilities Management**

- **Clinic Variance Requests (Retain in Office).** These records provide a complete history of any clinical deviations from standard departmental practices. The requests provide information on why the clinic is requesting a waiver for compliance with departmental policy. They are part of the core administrative documentation of the department as represented by its policies and procedures, and minutes of the board and the committee.

## Bureau of Family Health Services

- **Alabama Breast Cancer and Cervical Cancer Screening Program Records.** Data from the Confidential Screening and Diagnostic Data Collection Forms and related reports is entered into ABCCEDP Med-It database. Various reports are generated to report to the Centers for Disease Control and Prevention. Information has valuable research potential and is unavailable elsewhere in the state's public records. (RDA page 28) **(Bibliographic Title: Alabama Breast Cancer and Cervical Cancer Screening Program Records)**
- **Alabama Statewide Cancer Registry Database.** Data from patient medical records is entered into the Alabama Statewide Cancer Registry database. Various reports are generated utilizing data from this system to monitor disease distribution and statewide occurrence data, and to report to the Centers for Disease Control and Prevention. Information contained in this database has valuable research potential and is unavailable elsewhere in the state's public records. (RDA page 28) **(Bibliographic Title: Alabama Statewide Cancer Registry Database)**
- **Alabama Statewide Cancer Registry Advisory Council Records.** The Alabama Statewide Cancer Registry Advisory Council is mandated by the Centers for Disease Control and Prevention for the state to oversee the use of the data collected and the Alabama Statewide Cancer Registry Database. The advisory council is made up of cancer researchers, oncologists, surgeons, Commission on Cancer representatives, and other experts in the cancer field. Its purpose is to provide guidance to the registry regarding potential research, use of data, and methods for obtaining information about reported cases. These records are used to report to the Centers for Disease Control and Prevention. Information contained in this database is unavailable elsewhere in the state's public records. (RDA page 28) **(Bibliographic Title: Alabama Statewide Cancer Registry Advisory Council Records)**

## Office of General Counsel

- **Legal Opinions of the General Counsel (Retain in Office).** Part of the responsibility of the general counsel is the issuance of opinions interpreting public health law and the establishment of policy for implementation. These records form part of the core administrative documentation of the department.

## Bureau of Health Promotion and Chronic Disease:

- **Employee Training Audio/Visual Presentations (Retain in Office).** These records document the agency's efforts to ensure an adequately trained quality workforce by providing training on current procedures and practices and educating staff on health hazards. They form part of the core administrative documentation of the agency.
- **Iconographic Records.** These records are pictures that provide a very simple reflection of critical public health issues that require educational outreach to help change behavior. Pictures can summarize the critical public health issues during that time period. RDA page 36) **(Bibliographic Title: Iconographic Records)**

### **Bureau of Health Provider Standards:**

- **Health Care Facility History Files.** This series has legal value to the department by documenting long-term care facilities approved or authorized to operate within the state. These files provide in-depth research material on the licensure, inspection, complaints, and investigation of these facilities during their tenure of operation within Alabama. (RDA page 37) (**Bibliographic Title: Health Care Facility History Files**)
- **Terminated Health Care Facility Licensure Statement of Deficiencies with Plan of Correction, Resident Sample Selection, Consent Agreement, and Employee Identification List (Retain in Office).** This series provides an overview of a terminated health facilities ownership, survey history, and licensure revocation records. Documents are reviewed when the agency receives any new applications for ownership.
- **Assisted Living/Specialty Care Assisted Living Facility Licensure Files (Retain in Office).** This series contains the completed and filed applications for licensure ownership, license renewals, any legal correspondence, requests for change of administrator, and license status. Documents are reviewed when the agency receives any new applications or requests for change of ownership or licensure revocation.

### **Center for Health Statistics:**

- **Vital Records.** Code of Alabama 1975, Section 22-9A-1, et seq. (the Vital Records Act) establishes a system for the documentation of vital events (birth, death, marriage, divorce) within the state. Under the requirements of the Vital Records Act, the Center for Health Statistics must retain, on a permanent basis, all vital events records and provide a process for the public to obtain certified copies of the records. Prior to 1907, no systematic statewide process existed for the creation of vital records. The county and municipal health departments were required to make an annual report of births and deaths to the State Health Officer for statistical purposes. In 1919, Act No. 658 created the Office of State Registrar for vital statistics and implemented a process by which vital records were created and filed with the state. Code of Alabama 1923, Section 1065 further refined this act and implemented a fully standardized system. The Vital Records law was revised in 1992 to allow vital records to be captured and stored in a variety of formats including electronic media. This series consists of all vital records and related data created after 1907. (RDA page 42) (**Bibliographic Title: Vital Records**)

### **Bureau of Home and Community Services:**

- **Home Care Training Presentations (Retain in Office).** The Home Health and Life Care Administrative Manuals/Home Care Training Presentations serve as a reference point for employee training.

### **Office of Radiation Control (ORC):**

- **Shelby County Gas Well Logging Incident Files (No-Longer Created):** The Office of Radiation Control (ORC) is required to respond to incidents involving radioactive material in the state, review and approve response plans, and maintain documentation of the incident. In 1989 an incident involving radioactive material and the subsequent decontamination of equipment and property along with the proper disposal of the radioactive waste was overseen and documented by the ORC. The ORC staff reviewed the decontamination plan and took independent surveys of equipment and soil and water samples to assure decontamination processes met the requirements. Documentation regarding the decontamination program and surveys and samples was maintained permanently. (RDA page 52) **(Bibliographic Title: Shelby County Gas Well Logging Incident Files)**

### **Office of the State Health Officer:**

- **Meeting Agendas, Minutes, and Packets of the State Board of Health and the State Committee of Public Health.** This series consists of proposed and executed proceedings of the two bodies that have authority to oversee matters of public health in the state. (RDA page 52) **(Bibliographic Title: Meeting Agendas, Minutes, and Packets of the State Board of Health and the State Committee of Public Health)**
- **Administrative Files of the State Health Officer.** These records document the activities of the State Health Officer in directing the work of the department and in enforcing policies of the State Board of Health and the State Committee of Public Health. (RDA page 52) **(Bibliographic Title: Administrative Files of the State Health Officer)**

# **Permanent Records List**

## **Alabama Department of Public Health**

### **General Administration:**

1. Policy Clearinghouse Records
2. Website and Social Media Sites(s)
3. Publications
4. Audiovisual Files
5. News Releases and Public Service Announcements
6. Meeting Agendas, Minutes, and Packets of Various Internal/External Entities
7. Grant Project Narrative Reports

### **Bureau of Communicable Disease:**

#### **Epidemiology:**

1. Health Assessment and Consultation Reports
2. Notifiable Disease Case Report Records

#### **HIV/AIDS Prevention and Control:**

1. HIV/AIDS Reporting System Data

#### **Immunization:**

1. Signed Vaccine Administration Slips\*

#### **Sexually Transmitted Disease (STD) Control:**

1. STD Congenital Syphilis Surveys
2. Congenital Syphilis (CS) Case Investigation and Reports

#### **Tuberculosis (TB) Control:**

1. TB Clinical Records

### **Office of Emergency Medical Services and Trauma:**

1. Hazardous Substance Emergency Event Surveillance System Data

### **Office of Facilities Management:**

1. Clinic Variance Requests\*

**Bureau of Family Health Services:**

1. Alabama Breast Cancer and Cervical Cancer Screening Program Records
2. Alabama Statewide Cancer Registry Database
3. Alabama Statewide Cancer Registry Advisory Council Records

**Office of General Counsel:**

1. Legal Opinions of the General Counsel\*

**Bureau of Health Promotion and Chronic Disease:**

1. Employee Training Audio/Visual Presentations\*
2. Iconographic Records

**Bureau of Health Provider Standards:**

1. Health Care Facility History Files.
2. Terminated Health Care Facility Licensure Statement of Deficiencies with Plan of Correction, Resident Sample Selection, Consent Agreement, and Employee Identification List\*
3. Assisted Living/Specialty Care Assisted Living Facility Licensure Files\*

**Center for Health Statistics:**

1. Vital Records

**Bureau of Home and Community Services:**

1. Home Care Training Presentations\*

**Office of Radiation Control:**

1. Shelby County Gas Well Logging Incident Files (No-Longer Created)

**Office of the State Health Officer:**

1. Meeting Agendas, Minutes, and Packets of the State Board of Health and the State Committee of Public Health.
2. Administrative Files of the State Health Officer

\*Indicates records that ADAH anticipates will remain in the care and custody of the creating agency. ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

# **Alabama Department of Public Health 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 Alabama Department of Public Health. The RDA lists records created and maintained by the Alabama Department of Public Health 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 agency 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 and/or RDAs governing the retention of the Alabama Department of Public Health. Copies of superseded schedules or/and RDAs are no longer valid and should be discarded.
- This RDA shall govern the disposition of all records, regardless of format, created by the agency from its creation to dissolution. Please contact the staff of the Department of Archives and History before destroying any records created before 1940.
- 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 record-like materials are not actually regarded as official records and 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 maintain the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationary, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4)

transitory records, which are temporary records created for short-term 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; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff. They may be disposed of without documentation of destruction.

## **Records Disposition Requirements**

This section of the RDA is arranged by the organizational structure of the Alabama Department of Public Health and lists the groups of records created and/or maintain by various units as a result of activities and transactions performed in carrying out their duties. The agency may submit requests to revise specific records disposition requirements to the States Records Commission for consideration at its regular meetings.

Reminder: The agency should notify the staff of the Government Records Division of the Alabama Department of Archives and History should there be any changes to its organizational structure so that lists of records may be adjusted to reflect the changes.

### **■ General Administration (applicable to all internal units of the agency)**

#### **AUDIOVIDUAL FILES**

Disposition: PERMANENT RECORD.

#### **GRANT PROJECT NARRATIVE REPORTS**

Disposition: PERMANENT RECORD.

#### **MEETING AGENDAS, MINUTES, AND PACKETS OF VARIOUS INTERNAL/EXTERNAL ENTITIES**

Disposition: PERMANENT RECORD.

#### **NEWS RELEASES AND PUBLIC SERVICE ANNOUNCEMENTS**

Disposition: PERMANENT RECORD.

#### **POLICY CLEARINGHOUSE RECORDS**

Disposition: PERMANENT RECORD.

#### **PUBLICATIONS**

Disposition: PERMANENT RECORD.

#### **WEBSITE AND SOCIAL MEDIA SITE(S)**

Disposition: PERMANENT RECORD.

(ADAH staff captures and preserves the agency's website and other social media sites via a service offered by the Internet Archive [Archive-It]. Check the ADAH section of the Archive-It website at [www.archive-it.org/organizations/62](http://www.archive-it.org/organizations/62) to ensure your agency's website and social media site(s) are captured and preserved. If your agency's website and social media site(s) are not captured by the service, please contact the Government Records Division at 334-242-4452 to get them included.)

Grant Project Files

Disposition: Temporary Record. Retain 6 years after the submission of the final expenditure report.

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

Disposition: Temporary Record. Retain 3 years.

Real Property Leasing/Renting Records

Disposition: Temporary Record. Retain 6 years after the termination of the lease or rental agreement.

Routine Correspondence

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

■ **Bureau of Children's Health Insurance Program (CHIP)**

All Kids Health Insurance Application Files

Disposition: Temporary Record. Retain 3 years.

Benefits Payment by Exception – Approval documentation of payments made by exception.

Disposition: Temporary Record. Retain 2 years.

Documents Pertaining to Federal Audit for Payment Error Rate Measurement

Disposition: Temporary Record. Retain 15 years CAP (Corrective Action Plan) and Sampling Plans – maintain two most recent plans.

Invoices to Third Party Payees

Disposition: Temporary Record. Retain 3 years.

Social Security Administration Security Plan

Disposition: Temporary Record. Maintain current approved plan and prior approved plan; maintain two most recent audit reports.

Children's Health Insurance Program State Plan and Amendments

Disposition: Temporary Record. Retain 15 years.

CHIP Annual Report – Annual Report to CMS (Centers for Medicare and Medicaid Services)

Disposition: Temporary Record. Retain 15 years.

Statistical Enrollment Data Report/ Backup – Quarterly reports of enrollment, member months, race and gender

Disposition: Temporary Record. Retain 15 years.

OIG Audit Requests/Reports – Documentation related to records audit by OIG (Office of Inspector General)

Disposition: Temporary Record. Retain 7 years.

Internal Audit Reports – final audit reports pertaining to internal audits performed by CHIP  
Disposition: Temporary Record. Retain 7 years.

Complaint Investigations – Documents and findings concerning filed complaints of fraud/abuse of CHIP services  
Disposition: Temporary Record. Retain 3 years.

HIPAA Violations/Incidence Reports – Documents and findings concerning HIPAA or other security breaches/incidents  
Disposition: Temporary Record. Retain 5 years.

Daily Error Report – Reports listing applicants insurance status  
Disposition: Temporary Record. Retain 1 year.

Subpoenas – Request for records  
Disposition: Temporary Record. Retain 3 years from receipt.

Copies of Checks/Money Orders  
Disposition: Temporary Record. Retain 3 years.

Premium Letters  
Disposition: Temporary Record. Retain 3 years.

Bank Statements – history of banking transactions for the CHIP premium account  
Disposition: Temporary Record. Retain 3 years.

Invoices – Invoices to CRS (Children’s Rehab Services), SEIB (State Employees’ Insurance Boards), and PEEHIP (Public Education Employees’ Health Insurance Plan) for state match reimbursement  
Disposition: Temporary Record. Retain 3 years.

Checks/Money Orders Received for Payment of ALL Kids Premiums  
Disposition: Temporary Record. Destroy 60 days after receipt.

Report of Deposits Posted into CHIP Premium Account  
Disposition: Temporary Record. Retain 3 years.

Record of Postal Expenditures Made From the Postage Paid Account  
Disposition: Temporary record. Retain 1 year.

Confirmation of Deposits Made Electronically into the CHIP Premium Account  
Disposition: Temporary Record. Retain 3 years.

Record of Payments Submitted for Deposit  
Disposition: Temporary Record. Retain 3 years.

Reconciliation of Credit Card Payments Received  
Disposition: Temporary Record. Retain 3 years.

Report of Premium Payments Not Posted to the CHIP System  
Disposition: Temporary record. Retain 3 years.

■ **Bureau of Clinical Laboratories**

*NOTE:*

*CLIA – Clinical Laboratory Improvement Amendments*

*CDC – Centers for Disease Control and Prevention*

*EPA – Environmental Protection Agency*

*FDA – Food and Drug Administration*

Clinical Laboratory Certification Files

Disposition: Temporary Record. Retain 6 years.

Clinical Laboratory Proficiency Testing Records

Disposition: Temporary Record. Retain 2 years.

Clinical Laboratory Testing Personnel Qualification and Competency Evaluations

Disposition: Temporary Record. Retain 2 years.

Clinical Laboratory Testing Quality Assurance/Regulatory Records (CLIA)

Disposition: Temporary Record. Retain 2 years.

Clinical Laboratory Testing Quality Assurance Records/Regulatory Records (CDC – Select Agents)

Disposition: Temporary Record. Retain 3 years.

Clinical Laboratory Testing Quality Assurance/Regulatory Records (EPA)

Disposition: Temporary Record. Retain 5 years.

Clinical Laboratory Testing Quality Assurance/Regulatory Records (FDA)

Disposition: Temporary Record. Retain 3 years.

Clinical Chemistry Test Reports

Disposition: Temporary Record. Retain 2 years.

Environmental Chemistry (including lead)

Disposition: Temporary Record. Retain 2 years.

Water and Shellfish Reports

Disposition: Temporary Record. Retain 5 years.

Milk Reports

Disposition: Temporary Record. Retain 3 years.

Newborn Screening Test Reports

Disposition: Temporary Record. Retain 21 years.

Respiratory Test Reports

Disposition: Temporary Record. Retain 2 years.

Select Agents Reports

Disposition: Temporary Record. Retain 3 years.

Other Test Reports

Disposition: Temporary Record. Retain 2 years.

Other Laboratory Test Reports (e.g. Microbiology, Mycology, STD, etc)

Disposition: Temporary Record. Retain 2 years.

Laboratory Testing Protocols

Disposition: Temporary Record. Retain 2 years post retirement of procedure.

## ■ **Bureau of Communicable Disease**

### **Epidemiology**

HEALTH ASSESSMENT AND CONSULTATION REPORTS

Disposition: PERMANENT RECORD.

NOTIFIABLE DISEASE CASE REPORT RECORDS.

Disposition: PERMANENT RECORD.

Notifiable Disease Morbidity Reports

Disposition: Temporary Record. Retain 3 years.

Notifiable Disease Laboratory Results

Disposition: Temporary Record. Retain 3 years.

Notifiable Disease Investigation Reports

Disposition: Temporary Record. Retain 3 years.

Rabies Vaccinations by County

Disposition: Temporary Record. Retain 3 years.

### **HIV/AIDS Prevention and Control**

HIV/AIDS REPORTING SYSTEM DATA

Disposition: PERMANENT RECORD.

AIDS Drug Assistance Program Application Forms

Disposition: Temporary Record. Retain 7 years after termination of eligibility.

AIDS Drug Assistance Program Revisions (Revisions are medical status changes)

Disposition: Temporary Record. Retain 7 years after termination of eligibility.

AIDS Drug Assistance Program Computer Database  
Disposition: Temporary Record. Retain until obsolete.

Counseling and Testing Services Database  
Disposition: Temporary Record. Retain until data is obsolete.

### **Immunization**

SIGNED VACCINE ADMINISTRATION SLIPS  
Disposition: PERMANENT RECORD. Retain in Office.

### **Sexually Transmitted Disease (STD) Control**

STD CONGENITAL SYPHILIS SURVEYS  
Disposition: PERMANENT RECORD.

CONGENITAL SYPHILIS (CS) CASE INVESTIGATION AND REPORTS  
Disposition: PERMANENT RECORD.

Confidential Disease Reports  
Disposition: Temporary Record. Retain 1 year.

Lot Folder Status Sheets  
Disposition: Temporary Record. Retain 1 year.

STD Patient Interview and Cluster Interview Records  
Disposition: Temporary Record. Retain 1 year.

STD Original Patient Information Sheets  
Disposition: Temporary Record. Retain 1 year.

STD Reactor Control Records  
Disposition: Temporary Record. Retain 1 year.

STD Field Records  
Disposition: Temporary Record. Retain 1 year.

STD Major Analytical Points Sheets  
Disposition: Temporary Record. Retain 1 year.

STD Program Laboratory Reports  
Disposition: Retain in office. Retain 1 year.

STD Management Information System Computer Databases  
Disposition: Temporary Record. Retain useful life.

### **Tuberculosis (TB) Control**

TB CLINICAL RECORDS

Disposition: PERMANENT RECORD.

TB Correctional Facility Reports

Disposition: Temporary Record. Retain until data entry and verification.

TB Class A and B Reports

Disposition: Temporary Record. Retain 1 year.

TB Summary Sheets

Disposition: Temporary Record. Retain 3 years.

TB Field Activity Reports

Disposition: Temporary Record. Retain 1 year.

TB Drug Reaction Records

Disposition: Temporary Record. Retain 6 months.

Veri-Visible Cards

Disposition: Temporary Record. Retain until data entry and verification into electronic data base.

#### ■ Office of Emergency Medical Services and Trauma

HAZARDOUS SUBSTANCE EMERGENCY EVENT SURVEILLANCE SYSTEM DATA

Disposition: PERMANENT RECORD.

Alabama Trauma Registry Confidential Abstraction Form

Disposition: Temporary Record. Retain 5 years.

Advanced Life Support Service Files

Disposition: Temporary Record. Retain 6 years.

Ambulance Service Operator Licensing Files

Disposition: Temporary Record. Retain 6 years.

Emergency Medical Services and Technicians Licensing Records

Disposition: Temporary Record. Retain 6 years.

#### ■ Center for Emergency Preparedness

Emergency Preparedness Grant Applications Awards and Supporting Documentation

Disposition: Temporary Record. Retain 10 years.

Emergency Preparedness Planning and Supporting Documentation

Disposition: Temporary Record. Retain 10 years.

Emergency Events and Supporting Documentation

Disposition: Temporary Record. Retain 10 years.

## ■ Bureau of Environmental Services

Asbestos Inspection Records

Disposition: Temporary Record. Retain 30 years.

Certified Sewage System Installers Files

Disposition: Temporary Record. Retain 2 years after expiration of certificate.

Complaint Records

Disposition: Temporary Record. Retain 5 years.

County Food Protection Program Evaluation Files

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

County Environmentalists Evaluation Files

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

On-site sewage system records

Disposition: Temporary Record. Retain until system is no longer operational.

Dairy Food Inspection and Group Rating Files

Disposition: Temporary Record. Retain 6 years.

Fish Consumption Advisories

Disposition: Temporary Record. Retain 3 years.

Food Recall Notices

Disposition: Temporary Record. Retain 3 years.

Food Service Inspection Records

Disposition: Temporary Record. Retain 3 years.

Food Processing Plant Regulatory Files

Disposition: Temporary Record. Retain 3 years.

Immunohematology Records

Disposition: Temporary Record. Retain 5 years after creation.

Milk and Water Lab Report Records

Disposition: Temporary Record. Retain 5 years after creation.

Inactive Certified Sewage Disposal Site Evaluators Files

Disposition: Temporary Record. Retain 4 years.

Indoor Air Quality Inspection Records

Disposition: Temporary Record. Retain 5 years.

Lead Inspection Records

Disposition: Temporary Record. Retain 20 years.

Lodging Inspection Files

Disposition: Temporary Record. Retain 3 years.

Semisolid Waste Landfarming Site Files

Disposition: Temporary Record. Retain 10 years.

Septic Tank Manufacturer's Permit Records

Disposition: Approved: Temporary Record. Retain 5 years.

Disapproved: Temporary Record. Retain for useful life.

Sewage System Evaluation Records

Disposition: Temporary Record. Retain for useful life.

Sewage System Variance Files

Disposition: Temporary Record. Retain for useful life.

## ■ Office of Facilities Management

CLINIC VARIANCE REQUESTS

Disposition: PERMANENT RECORD. Retain in Office.

Architectural and Engineering Plans and Specifications for County Health Department

Disposition: Architectural Plans (Face Sheet, Plot Plan, Floor Plan, Wall Section Plan, Life Safety Code Plan) Temporary Record. Retain while agency occupies the building, and 3 years after vacating the building.

Final Stage Floor Plan with Building Classification

Disposition: Temporary Record. Retain 5 years.

Life Safety Code/Medicare Forms, Including CMS (The Centers for Medicare and Medicaid Services) Forms.

Disposition: Temporary Record. Retain 5 years.

Specifications, Final Inspections, and Construction Records

Disposition: Temporary Record. Retain 5 years.

## ■ Bureau of Family Health Services

### Cancer Prevention and Control

ALABAMA BREAST CANCER AND CERVICAL CANCER SCREENING PROGRAM RECORDS

Disposition: PERMANENT RECORD.

ALABAMA STATEWIDE CANCER REGISTRY DATABASE

Disposition: PERMANENT RECORD.

ALABAMA STATEWIDE CANCER REGISTRY ADVISORY COUNCIL RECORDS

Disposition: PERMANENT RECORD.

## **Children's Health**

Child Lead Poisoning Prevention Program Follow-up Patient Records

Disposition: Temporary Record. Retain 21 years.

Child Lead Program Laboratory Results

Disposition: Temporary Record. Retain until data entry and verification.

Healthy Child Care Alabama CPR/First Aid Records

Disposition: Temporary Record. Retain 2 years.

Healthy Child Care Alabama Health and Safety Records

Disposition: Temporary Record. Retain 3 years plus the current year.

Newborn Screening Program Follow up Patient Records

Disposition: Temporary Record. Retain 21 years.

## **Women, Infant and Children (WIC)**

*Note: The retention of the following records, created under the Women, Infant, and Children Program (WIC), must adhere to the USDA federal regulations and tie to the USDA closed single and OIG audit schedule.*

Patient Encounter Forms

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for ligation, claims, negotiations, or audits, whichever is later.

Women, Infant, and Children Vendor Files

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for ligation, claims, negotiations, or audits, whichever is later .

WIC Vendor Abuse Investigation Case Files

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for ligation, claims, negotiations, or audits, whichever is later.

WIC Vendor File Master Lists

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for ligation, claims, negotiations, or audits, whichever is later.

WIC Program Vendor Volume, High Risk Indication, and Over Surveyed Maximum Reports

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for litigation, claims, negotiations, or audits, whichever is later.

#### WIC Program Food Instruments

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for litigation, claims, negotiations, or audits, whichever is later.

#### WIC Program Registration, Enrollment, Participant, and Encounter Reports

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for litigation, claims, negotiations, or audits, whichever is later.

#### Quarterly and Annual WIC Program Participation Analysis Reports

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for litigation, claims, negotiations, or audits, whichever is later.

#### WIC Program Reconciliation Reports

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for litigation, claims, negotiations, or audits, whichever is later.

#### WIC Program Status Reports

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for litigation, claims, negotiations, or audits, whichever is later.

#### WIC Program Food Instrument Accounting Reports and Registers

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for litigation, claims, negotiations, or audits, whichever is later.

#### WIC Program Infant Formula Rebate Reports

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for litigation, claims, negotiations, or audits, whichever is later.

#### Food Instrument Receipt and Summary Records

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for litigation, claims, negotiations, or audits, whichever is later.

#### Food Instrument Redemption Reports

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for litigation, claims, negotiations, or audits, whichever is later.

#### Divisional/Programmatic General Files

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for ligation, claims, negotiations, or audits, whichever is later.

#### Appointment Waiting Times/Showrates

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for ligation, claims, negotiations, or audits, whichever is later.

#### Policies, Procedures and Reference Materials From State and Federal Agencies

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for ligation, claims, negotiations, or audits, whichever is later.

#### Encounter Error Rate Reports

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for ligation, claims, negotiations, or audits, whichever is later.

#### Women, Infants, and Children (WIC) Financial Records (including receipts, registers, summary files, reconciliations, reports, vendor records)

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for ligation, claims, negotiations, or audits, whichever is later.

#### Investigation Reports from Complaints

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for ligation, claims, negotiations, or audits, whichever is later.

#### Possible Over-Issuance Report

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for ligation, claims, negotiations, or audits, whichever is later.

#### Deferred Bloodwork Report

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for ligation, claims, negotiations, or audits, whichever is later.

#### Redeeming FI Early Report

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for ligation, claims, negotiations, or audits, whichever is later.

#### Civil Rights Training

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for ligation, claims, negotiations, or audits, whichever is later.

#### Outreach Files

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for ligation, claims, negotiations, or audits, whichever is later.

#### Vendor Training Files

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for ligation, claims, negotiations, or audits, whichever is later.

#### Formula Issuance/Inventory Logs

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for ligation, claims, negotiations, or audits, whichever is later.

#### Infant Formula Logs

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for ligation, claims, negotiations, or audits, whichever is later.

#### WIC Manual Food Instrument Inventory Log

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for ligation, claims, negotiations, or audits, whichever is later.

#### Breastpump Loan/Release Forms

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for ligation, claims, negotiations, or audits, whichever is later.

#### WIC Quality Assurance Audits

Disposition: Temporary Record. Retain 3 1/2 years after the fiscal year in which the records were created or until all issues are resolved for ligation, claims, negotiations, or audits, whichever is later (the retention is based upon the USDA closed single and OIG audit schedule).

### **Women's Health Division (Central Office)**

#### Title X Family Planning Grants Awarded to ADPH

Disposition: Temporary Record. Retain 6 years after submission of final federal financial report.

#### Contracts for Professional Services with Contractor

Disposition: Temporary Record. Retain 6 years from expiration date of contract.

Grants for Services with Sub-Recipient

Disposition: Temporary Record. Retain 6 years from expiration date of grant.

Plan First Program: An 1115 Family Planning Demonstration Medicaid Waiver

Disposition: Temporary Record. Retain 6 years after submission of final financial report.

Statewide Title X Quality Assurance Audit Results

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

Statewide Nurse Practitioner Quality Assurance Audit Results

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

Fetal and Infant Mortality Review (FIMR) Program

Disposition: Temporary Record. Retain 1 year after review by the case review team.

**Oral Health**

Dental Care Case Files

Disposition: Temporary Record. Retain 3 years.

Dental Health Survey Files

Disposition: Temporary Record. Retain for useful life.

Fluoridation Program Application Records

Disposition: Temporary Record. Retain 6 years.

■ **Bureau of Financial Services**

A-3 Reports

Disposition: Temporary Record. Retain 5 years.

Adjustment Bills, Secondary Payer Bills, and Credit Balance Reports

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

Bid Records and Contracts. Including requests for proposals, unsuccessful responses, and all documents pertaining to the award of the contracts.

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

Budget Allotment and Summary Reports

Disposition: Temporary Record. Retain 7 years.

Community Services Financial Records (including records of billing, payments, accounts receivable, cost reporting, and reimbursement)

Disposition: Temporary Record. Retain 6 years or until settlement of any claims due, whichever is longer.

Contracts for Services or Personal Property

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

Cost Accounting Time Studies

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

County Health Department Budgeted Revenues and Actual Receipts Reports

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

Day Sheets and Recapitulation of Day Sheets

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

Expenditure Transaction Registers

Disposition: Temporary Record. Retain 7 years.

Fund Control and Status Reports

Disposition: Temporary Record. Retain 4 years.

Ledger Cards

Disposition: Temporary Record. Retain 7 years.

Immunization Service Billing Reports

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

Medicaid Financial Records (including explanation of payment reports, accounts receivable reports, billing reports, and error reports)

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

Medicare Cost Reports

Disposition: Temporary Record. Retain 5 years.

Periodic Financial Management Statements and Reports

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

Public Health Care Finance Authority Administrative Files (contains invoices, checks bank statements, appraisals, and financial reports)

Disposition: Temporary Record. Retain 5 years.

Public Health Service Billing Reports

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

Production, Cost, and FTE Reports

Disposition: Temporary Record. Retain 5 years.

Records Documenting the Issuance of County Health Department Construction Bond Issues

Disposition: Temporary Record. Retain 3 years after the fiscal year following the retirement of bonds.

Records Documenting Payment of Board of Adjustment Claims

Disposition: Temporary Record. Retain 5 years after settlement of claim

Records Documenting the Purchase of Nonexpendable Property/Equipment with Federal Funds

Disposition: Temporary Record. Retain 6 years after submission of the final expenditure report.

Records Documenting the Preparation of a Budget Request 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, and Ledgers, and Records of Funds Deposited Outside the State Treasury, Including Bank Statements, Deposit Slips, Cancelled Checks, etc.

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 and Other Related Materials, such as Travel Reimbursement Forms and Itineraries.

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

Reconciliation Reports

Disposition: Temporary Record. Retain 4 years.

Revenue and Expense Summaries

Disposition: Temporary Record. Retain 5 years.

Spending Plan Files

Disposition: Temporary Record. Retain 7 years.

State Laboratory Service Billing and Claim Reports and Incomplete Billing Reports

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

Unpaid Claim Reports

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

Waiver Program Billing Records

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

■ **Office of General Counsel**

LEGAL OPINIONS OF THE GENERAL COUNSEL

Disposition: PERMANENT RECORD. Retain in Office.

Administrative Hearing Proceedings

Disposition: Temporary Record. Retain 5 years.

Legal Case Files

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

Subpoenas

Disposition: Temporary Record. Retain 3 years.

■ **Bureau of Health Promotion and Chronic Disease**

EMPLOYEE TRAINING AUDIO/VISUAL PRESENTATIONS

Disposition: PERMANENT RECORD. Retain in Office.

ICONOGRAPHIC RECORDS (FOR THE BUREAU OF HEALTH PROMOTION AND CHRONIC DISEASE)

Disposition: PERMANENT RECORD.

Audiovisual Materials (including satellite conference materials)

In-service training films videos produced by the department

Disposition: Temporary Record. Retain until obsolete.

General information videos and videos on public health topics that are not produced by the department.

Disposition: Temporary Record. Retain until obsolete.

General information videos and videos on public health topics that are produced by the department.

Disposition: Temporary Record. Retain until obsolete.

Behavioral Risk Factor Surveillance System Survey Files

Disposition: Temporary Record. Retain 2 years.

Consumer Product Safety Program Files

Disposition: Temporary Record. Retain 3 years.

Controlled Substance Files

Disposition: Temporary Record. Retain until superseded.

Injury Prevention Federal Grants and Progress Reports

Disposition: Temporary Record. Retain 3 years after submission of final federal financial report.

Printing Service Request Files

Disposition: Temporary Record. Retain until receipt of printed material.

Printing Negatives, Paste ups, Disks, and Plates

Disposition: Temporary Record. Retain until obsolete.

Occupant Restraint Grant Files

Disposition: Temporary Record. Retain 3 years after submission of final federal financial report.

■ **Bureau of Health Provider Standards**

HEALTH CARE FACILITY HISTORY FILES

Disposition: PERMANENT RECORD.

TERMINATED HEALTH CARE FACILITY LICENSURE STATEMENT OF DEFICIENCIES WITH PLAN OF CORRECTION, RESIDENT SAMPLE SELECTION, CONSENT AGREEMENT, AND EMPLOYEE IDENTIFICATION LIST

Disposition: PERMANENT RECORD. Retain in Office.

Surveyor Orientation, Training, and Continuing Education Files

Disposition: Temporary Record. Retain until separation of employee.

Continuing Education Program Files

Disposition: Temporary Record. Retain 5 years.

State Agency Quality Improvement Program Files

Disposition: Temporary Record. Retain 3 years.

Health Facility License Application Denials and related correspondence

Disposition: Temporary Record. Retain 15 years after denial.

Health Facility License Applications and related correspondence

Disposition: Temporary Record. Retain 15 years after license is terminated.

Incomplete or Unprocessed Health Facility Certification Applications and related correspondence

Disposition: Temporary Record. Retain 7 years.

Complete Health Facility Certification Applications and related correspondence

Disposition: Temporary Record. Retain 15 years after enrollment is terminated.

*( Note: The two proceeding record retention schedules are established to meet the requirements of the Centers for Medicare and Medicaid Services, State Operations Manual, Chapter 4 – Program Administration and Fiscal Management (Rev. 39, 12-19-08), Section 4802S.)*

Terminated Health Care Facility Licensure Statement of Deficiencies with Plan of Correction, Resident Sample Selection, Consent Agreement, and Employee Identification List

Disposition: Temporary Record. Retain 20 years.

### **Provider Services**

Keys Amendment (Section 1616(e) of the Social Security Act) Records

Disposition: Temporary Record. Retain until no longer useful.

### **Long-Term Care Facility Records**

Long-Term Care Facility Licensure and Certification Survey Records – CMS-612, 670, 672, 802, 2567 with Plan of Correction, Employee Identifiers, Facility layout and related correspondence

Disposition: Temporary Record. Retain 4 years plus the current year. Records with pending administrative hearings or civil litigation must be sequestered until all action is completed.

Long- Term Care Facility Licensure and Certification Most Recent Survey Records- Survey notes and other work papers that are merged into and superseded by a final product.

Disposition: Temporary Record. Retain 1 year after most recent survey cycle. Records with pending administrative hearings or civil litigation must be sequestered until all action is completed.

Long-Term Care Facility Complaint/Investigation Records

Disposition: Temporary Record. Retain 4 years unless there is pending administrative hearing or civil litigation is pending. Records with pending administrative hearings or civil litigation must be sequestered.

Long-Term Care Facility Occurrence Reports

Disposition: Temporary Record. Retain 2 years unless there is a pending administrative hearing or civil litigation is pending. Records with pending administrative hearings or civil litigation must be sequestered.

### **Non Long Term Care Facility Records**

Non Long-Term Care Facility Licensure and Certification Survey Files

Disposition: Temporary Record. Retain the two most recent licensure and certification actions at all times. Destroy all other records when 4 years old. Records with pending administrative hearings or civil litigation must be sequestered until all action is completed.

#### Non Long- Term Care Facility Complaint/Investigation Files

Disposition: Temporary Record. Retain the two most recent licensure and certification actions at all times. Destroy all other records when 4 years old. Records with pending administrative hearings or civil litigation must be sequestered until all action is completed.

#### Non Long- Term Care Facility Certification Validation Files

Disposition: Temporary Record. Retain 5 years. Records with pending administrative hearings or civil litigation must be sequestered until all action is completed.

#### Non Long- Term Care Licensure Facility Occurrence Reports

Disposition: Temporary Record. Retain 2 years. Records with pending administrative hearings or civil litigation must be sequestered until all action is completed.

#### Non Long- Term Care Closed Facility Files

Disposition: Temporary Record. Voluntary Closure – Transfer from the active files to closed file in the Non Long Term Care Unit. Retain the most recent licensure and certification actions at all times. Destroy all other records when 4 years old. Records with pending administrative hearings or civil litigation must be sequestered until all action is completed.

### **Clinical Laboratory Improvement Amendment (CLIA) Records**

#### Inactive Independent Clinical Laboratory Licensure and Certification File Papers

Disposition: Temporary Record. Retain 2 years.

#### Clinical Laboratory Certification Files

Disposition: Temporary Record. Retain 6 years.

#### Hospital Laboratory Proficiency Testing Results

Disposition: Temporary Record. Retain 6 years.

#### Laboratory Testing Quality Assurance Records

Immunochemistry Records: Temporary Record. Retain 10 years after creation.

Other Records: Temporary Record. Retain 2 years after creation.

### **Nurse Aide Program Records**

#### Nurse Aide Registry

Disposition: Temporary Record. Retain until notification of individual's death.

#### Nurse Aide Abuse Complaint Records

Disposition:

Records of Substantiated Abuse Complaints. Temporary Record. Retain until notification of individual's death.

Records of Unsubstantiated Abuse Complaints: Temporary Records. Retain 3 years.

#### Nurse Aide Administrative Hearing Proceedings

Disposition: Temporary Record. Retain until notification of individual's death.

*(The three proceeding record retention schedules are established to meet the requirements of the Centers for Medicare and Medicaid Services, 42 CFR Part 483, Subpart D §483.15(c)(iv)(D), Registry of Nurse Aides.)*

Nurse Aide Training Program Files

Disposition: Temporary Record. Retain until no longer useful.

### **Assisted Living/Specialty Care Facility Records**

ASSISTED LIVING/SPECIALTY CARE ASSISTED LIVING FACILITY  
LICENSURE FILES

Disposition: PERMANENT RECORD. Retain in Office.

Current Assisted Living/Specialty Care Assisted Living Facility Survey Packet

Disposition: Temporary Record. Retain two most recent survey cycles, unless there is a pending administrative hearing or civil litigation is pending. Records with pending administrative hearings or civil litigation must be sequestered.

Assisted Living/Specialty Care Assisted Living Pre-Licensure Intake Files

Disposition: Temporary Record. Retain until survey conducted. If license granted, move to facility complaint intake file. If no license granted, destroy after 1 year.

Assisted Living/Specialty Care Assisted Living Complaint Intake

Disposition: Temporary Record. Transfer to current facility file upon completion of survey. If facility closes prior to survey, retain 5 years.

Closed Assisted Living/Specialty Care Assisted Living Facility Survey Packets

Disposition: Temporary Record. Retain 5 years.

### **Unlicensed Health Facilities**

Unlicensed Health Facility Investigation Files

Disposition: Temporary Record. Retain 10 years.

Unlicensed Health Facility Pre-Investigation Files

Disposition: Temporary Record. Retain 10 years.

### **Health Maintenance Organization (HMO) Records**

Approved Certificate of Authority (COA) Applications

Disposition: Temporary Record. Retain until 7 years after notification of license termination.

COA Review Notes, Correspondence, and Replaced Documents

Disposition: Temporary Record. Retain 5 years.

Enrollee Documents and Marketing Materials

Disposition: Temporary Record. Retain until replaced in field.

Provider Contracts

Disposition: Temporary Record. Retain until replaced in field.

Field Inspection Visitation Checklists

Disposition: Temporary Record. Retain useful life.

Material Modifications, Waivers and Exceptions-mergers, sales, DOI Form A documents

Disposition: Temporary Record. Retain 3 years.

Material Modifications, Waivers and Exceptions-staff changes and reorganizations

Disposition: Temporary Record. Retain until superseded.

Pre-Licensure Surveys

Disposition: Temporary Record. Retain 6 months following licensure.

Post Licensure Surveys

Disposition: Temporary Record. Retain 1 year.

Alabama Quality Utilization Alliance (AQUA) Accessibility Study Files

Disposition: Temporary Record. Retain 3 years.

AQUA Benchmark Study Files

Disposition: Temporary Record. Retain 3 years.

AQUA HMO Enrollee Satisfaction Survey Files

Disposition: Actual Surveys: Temporary Record. Retain until the results of the next annual survey are released to HMOs.

Summary Reports and Other Corrective/Follow-up Action Materials:  
Temporary Record. Retain 3 years.

HMO Claim Audit Files

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

Medicare Supplemental Healthcare Insurance Company Application Files

Disposition: Temporary Record. Retain 1 year.

Medicare Supplemental Healthcare Insurance Company Service Area Expansion Application Files

Disposition: Temporary Record. Retain 6 months.

HMO Service Provider Complaint Logs and Files

Disposition: Temporary Record. Retain 4 years.

Enforcement Actions and the Supporting Documentation Files

Disposition: Temporary Record. Retain 5 years after date of action.

Two Year Survey Supporting Documentation

Disposition: Temporary Record. Retain until the next scheduled Two Year Survey has been completed.

Two Year Survey Comprehensive Reports, Deficiency Reports, Records Documenting Any Corrective Actions or the Results

Disposition: Temporary Record. Retain 4 years after the date of the Two Year Survey.

HMO Enrollee Complaint Logs and Files

Disposition: Temporary Record. Retain 4 years.

Service Area Expansions

Disposition: Temporary Record. Retain 6 months.

Provider Manuals

Disposition: Temporary Record. Retain until superseded.

Quality Assurance, Utilization Review, and Credentialing Programs

Disposition: Temporary Record. Retain until superseded.

Quarterly and Annual Reports (of licensed HMOs)

Disposition: Temporary Record. Retain 2 years.

Non HMO Provider/Network Contracts

Disposition: Temporary Record. Retain 5 years after superseded.

HMO Enrollee Complaint Records

Disposition: Temporary Record. Retain 5 years.

HMO Enrollee Grievance Logs and Files

Disposition: Temporary Record. Retain 5 years.

Copies of Enrollee Medical Records as Part of Grievance

Disposition: Temporary Record. Retain 5 years.

## **Utilization Review (UR) Records**

Inactive Utilization Review Agent Records

Disposition: Temporary Record. Retain 3 years.

## **■ Center for Health Statistics**

### **VITAL RECORDS**

(including, but are not limited to, the following: Records of Vital Events [Birth, Death, Marriage, Divorce] ; ViSION system; Detail Statistical Reports and Data on Vital Events; Evidence Supporting Vital Record Action; Fetal Death Reports; Midwife Records and Bedside Birth Books; Reports of Induced Termination; Registers of Births and Deaths [Handwritten Ledger Books]; Vital Records Amendments or Changes; Vital Records Statistical Files for State of Alabama; Acknowledgement of Paternity)

Disposition: PERMANENT RECORD.

Applications for Copies of Vital Records  
Disposition: Temporary Record. Retain 3 years.

Birth/Death/Stillbirth Summary Cards  
Disposition: Temporary Record. Retain for useful life.

Burial Transit Permit  
Disposition: Temporary Record. Retain 5 years.

Confidential Medical Information Section of the Certificate of Live Death (ADPH-HS 1)  
Disposition: Temporary Record. Retain until data capture and verification.

General Indexes to Births and Death Certificates (paper format)  
Disposition: Temporary Record. Retain until data capture and verification.

Condensed Records of Births and Deaths  
Disposition: Temporary Record. Retain for useful life.

Hospital Birth and Death Certificates Certifier Records  
Disposition: Temporary Record. Retain until certifier resigns.

Monthly Reports of Vital Events  
Disposition: Temporary Record. Retain 1 year.

Notices of Disinterment/Disinterment Notices  
Disposition: Temporary Record. Retain 5 years.

Research Agreements  
Disposition: Temporary Record. Retain until research completed.

Receipt of Body for Burial  
Disposition: Temporary Record. Retain 5 years.

Statistical Data Requests  
Disposition: Temporary Record. Retain for useful life.

## ■ Bureau of Home and Community Services

HOME CARE TRAINING PRESENTATIONS  
Disposition: PERMANENT RECORD. Retain in Office.

### **Billing and Support**

Medicare Eligibility  
Disposition: Temporary Record. Retain 6 years, 3 months after the bill is paid.

Insurance Verification Form

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

#### Additional Documents Request (ADR)

Disposition: Temporary Record. Retain 6 years, 3 months after the bill is paid.

#### Comprehensive Error Rate Testing (CERT)

Disposition: Temporary Record. Retain 6 years, 3 months after the bill is paid.

#### Centers for Medicare and Medicaid Services (CMS) Form 855A, Medicare Enrollment Application

Disposition: Temporary Record. Retain 15 years, or until no longer needed for Agency business, whichever is later.

#### Lifecare Bill Register

Disposition: Temporary Record. Providers must retain records that fully disclose the extent and cost of services provided to the eligible recipients for a 5 year period.

#### HIV/AIDS Waiver Private Provider Invoice

Disposition: Temporary Record. Providers must retain records that fully disclose the extent and cost of services provided to the eligible recipients for a 5 year period.

#### Elderly and Disabled Waiver (EDW) Private Provider Invoice

Disposition: Temporary Record. Providers must retain records that fully disclose the extent and cost of services provided to the eligible recipients for a 5 year period.

#### Medicare Secondary Payer (MSP)

Disposition: Temporary Record. Retain 10 years.

### **Budget and Personnel**

#### Cost Reports, Sanctions, Credit Balance Reports

Disposition: Temporary record. Retain 3 years after the settlement date superseded by Medicaid retention of 6 years because of overlap.

#### GenEnd, Explanation of Payment (EOP) Balancing to Electronic Fund Transfer (EFT) Transfers, Reconciling Financial Data, Accounts Receivable (AR) Aging

Disposition: Temporary: Retain 3 years after the settlement date superseded by Medicaid retention of 6 years because of overlap.

#### McKesson Contracts

Disposition: Temporary Record. Retain 10 years plus the close of Medicare Cost Report which includes services and billing provided under the contract.

#### Contract Employee Insurance (RN, LPN, & HHA)

Disposition: Temporary Record. Retain 10 years plus the close of Medicare Cost Report which includes services and billing provided under the contract.

#### Analysis for Home Care Budget

Disposition: Retain 6 years

State Health Planning and Development Agency (SHPDA) Report

Disposition: Retain 10 years after end of fiscal year in which data was released.

## **Compliance and Contracts**

Contracts Including Required Documents and Related Correspondence

Disposition: Temporary Record. Retain 10 years after the termination or expiration date. Where applicable, plus 3 years after the settlement of the Medicare Cost Report.

Compliance and Contracts Policies

Disposition: Temporary Record. Retain until revised or retired.

Compliance/Investigative Reports, Complaint Logs

Disposition: Temporary Record. Retain 6 years after the fiscal year in which the records are created.

Property History Cards for In-Use (PHC), Salvaged and Transferred Property

Disposition: Temporary Record. PHCs for equipment in use are retained as long as the equipment is in use. PHCs for salvaged and transferred equipment are retained 5 years after the salvaged or transferred equipment has been removed from the bureau's audited inventory report.

Training Certifications and Reports

Disposition: Temporary Record. Retain 6 years after separation of the employee and 3 years after the closure of any complaint, investigation, or audit involving employee.

## **Elderly & Disabled Waiver and HIV/AIDS Waiver**

Waiver Referral File Information

Disposition: Temporary Record. Retain 6 years.

Active Case Records/Closed Case Records

Disposition: Temporary Record. Adult records retain 6 years. Pediatric records retain until age of majority plus 7 years.

Non-Admit Application Files

Disposition: Temporary Record. Adult records retain 6 years. Pediatric records retain until age of majority plus 7 years.

Case Record Audit Files/Supervisory Home Visit Reports

Disposition: Temporary Record. Retain 6 years.

Reports to the Department of Human Resources (DHR) on Suspected Abuse Neglect Exploitation (ANE)

Disposition: Temporary Record. Adult records retain 6 years. Pediatric records retain until age of majority plus 7 years.

Incident/Complaints/Compliance Reports

Disposition: Temporary Record. Adult records retain 6 years. Pediatric records retain until age of majority plus 7 years.

Case Management Billing Documents and Documentation

Disposition: Temporary Record. Retain 6 years.

Client Specific Social Service Reporting Forms/Encounter Forms

Disposition: Temporary Record. Retain 6 years.

Waiver Direct Services Provider Billing Documents

Disposition: Temporary Record. Retain 6 years.

Monthly Slot Reconciliation Reports

Disposition: Temporary Record. Adult records retain 6 years. Pediatric records retain until age of majority plus 7 years.

Case Manager Criminal History Background Check Reports

Disposition: Temporary Record. Retain 6 years.

Direct Service Provider (DSP) Contract Files (active and closed)

Disposition: Temporary Record. Retain 6 years.

DSP Audit Report Files

Disposition: Temporary Record. Retain 6 years.

Copies of Case Management Audit Reports Submitted by Areas

Disposition: Temporary Record. Retain 6 years.

Medicaid Audit Reports/Retrospective Review Files

Disposition: Temporary Record. Retain 6 years.

Case Management Training Handbooks

Disposition: Temporary Record. Retain 6 years.

DSP Training Handbooks

Disposition: Temporary Record. Retain 6 years.

Waiver Eligibility Reports and Long Term Care (LTC) Notification  
Acceptance/Rejection Reports

Disposition: Temporary Record. Retain 6 years.

HIV/AIDs Waiver Files (Slots, Non-admits, Termination, Active Apps.)

Disposition: Temporary Record. Retain 6 years.

Copies of Waiver Applications Pending Review, CM Corrections, and Level of Care  
(LOC) Approval

Disposition: Temporary Record. Retain 6 years.

Files Regarding Area Slot Allocations

Disposition: Temporary Record. Retain 6 years.

Notes/Materials from Medicaid Meetings, Policy Clarifications, Satisfaction Surveys  
Disposition: Temporary Record. Retain 6 years.

Denied Waiver Applications with Related Documentation Including Appeals Processing  
Disposition: Temporary Record. Adult records retain 6 years. Pediatric records retain until age of majority plus 7 years.

LTC Request for Payment from Area/County and Response from Medicaid  
Disposition: Temporary Record. Adult records retain 6 years. Pediatric records retain until age of majority plus 7 years.

Waiver Case Management Documents  
Disposition: Temporary Record. Retain 6 years.

Program Development and Client Enrollment Documents  
Disposition: Temporary Record. Retain 6 years.

Quality Assurance Documents  
Disposition: Temporary Record. Retain for 6 years.

Home Delivered Meals Documents  
Disposition: Temporary Record. Retain 6 years.

## **Home Care**

Home Health Patient Encounter Form and Life Care Day Sheet  
Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

Home Health Adult Medical Records  
Disposition: Temporary Record. Retain 6 years.

Home Health Pediatric Medical Records  
Disposition: Temporary Record. Retain 7 years after the age of majority is reached.

Home Care Training Records  
Disposition: Temporary Record. Retain 5 years after termination of employment.

Home Care Competency Records  
Disposition: Temporary Record. Retain 5 years after termination of employment.

Quality Improvement Files  
Disposition: Temporary Record. Retain 3 years.

Complaint Investigation Files  
Disposition: Temporary Record. Retain 3 years.

Life Care Adult Medical Records

Disposition: Temporary Record. Retain 6 years.

Life Care Pediatric Medical Records

Disposition: Temporary Record. Retain 7 years after the age of majority is reached.

Home Care Quarterly Newsletters

Disposition: Temporary Record. Retain 1 year.

Outcome and Assessment Information Set (OASIS) Tracking Reports

Disposition: Temporary Record. Retain 3 years.

## ■ Office of Human Resources

Completed Applications for Direct Appointment, Form 8, and Contract Jobs Applications Received for Available Positions.

Disposition: Temporary Record. Retain 2 years.

EEOC (Equal Employment Opportunity Commission) Complaints: Records of complaints filed with EEOC, response letters, all personnel records relevant to the charge or action, etc.

Disposition: Temporary Record. Retain for 3 years after final disposition of the charge.

EEOC Work Force Analysis: Record of Department's workforce in terms of job categories, race, age, gender.

Disposition: Temporary Record. Retain 3 years.

Employee Files (including Merit System, hourly, contract): Records of employee's work history (e.g., appointment, performance appraisals, promotions, disciplinary action, Form 11's, contract, etc.)

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

Employee FMLA, ADA (Family & Medical Leave Act and Americans with Disabilities Act): Files, FMLA and ADA forms, medical documentation.

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

Employee Relations Files: Investigation Reports/Notes from: Employee Complaints/Grievances, Disciplinary Matters.

Disposition: Temporary Record. Retain 6 years.

Employee Weekly Leave Documentation Form: Reports of Hours Worked, Leave Earned/Taken, Comp Time Records.

Disposition: Temporary Record. Retain 3 years.

Exit Interview Questionnaires: Questionnaire sent to employees after separation; questions regarding their employment with ADPH.

Disposition: Temporary Record. Retain 2 years.

Form I-9: Documents an individual's eligibility to work in the U.S.

Disposition: Temporary Record. Retain 3 years from the date of hire or 1 year after employee becomes inactive, whichever is later.

Interview Records: Job interview questions, notes taken during interview.  
Disposition: Temporary Record. Retain 2 years.

Job Recruitment Materials: Job advertisements used in newspapers, trade publications, etc.; lateral transfer job announcements.  
Disposition: Temporary Record. Retain 2 years.

Leave Donation Records: Form 25 and supporting documentation.  
Disposition: Temporary Record. Retain 3 years.

Position Description Questionnaire (Form 40): Describes the kind of work and responsibilities of a position for purposes of classification. Documentation of essential job functions for Americans with Disabilities Act.  
Disposition: Temporary Record. Retain 4 years after position reclassified.

SEICTF (State Employee Injury Compensation Trust Fund Records) Records: Documents regarding job-related injury or illness.  
Disposition: Temporary Record. Retain 6 years after employee's separation from the agency.

Unemployment Compensation Records: Documentation of former employees granted/denied unemployment compensation.  
Disposition: Temporary Record. Retain 5 years.

## ■ Bureau of Information Technology

Basement and Equipment Inventories  
Disposition: Temporary Record. Retain list of removed items 3 years.

Information Technology Documentation (hardware/software manuals and diskettes, warranties, records of access/authorities, file naming conventions, Y2K records)  
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.

Job Execution Reports  
Disposition: Temporary Record. Retain 3 months.

Network Address Database  
Disposition: Temporary Record. Retain in office.

Notes Database  
Disposition: Temporary Record. Retain until obsolete.

Semiannual Inventory Lists  
Disposition: Temporary Record. Retain in office

Telephone Systems Records

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

Work Order Database

Disposition: Temporary Record. Retain 3 years.

Work Order Database Archives

Disposition: Temporary Record. Retain 7 years.

## ■ Bureau of Professional and Support Services

Alabama Hospital Association Grant Agreements

Disposition: Temporary Record. Retain 6 years following expiration of agreements.

Community Scholarship Program Files

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

Department Overview and Approval of Research (DOAR) Committee Records

Disposition: Temporary Record. Retain 3 years after project completion.

J-1 and State 30 Waiver Applications

Disposition: Temporary Record. Retain 3 years after completion of J-1/NIW (National Interest Waiver) service obligation.

Medically Under-Served Area and Health Professional Shortage Area Designation Records

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

Medicare Rural Hospital Flexibility Grant (FLEX) Files

Disposition: Temporary Record. Retain 6 years after completion of audit and release of audit report.

Minority and Rural Health Care Grant Files

Disposition: Temporary Record. Retain 6 years after completion of audit and release of audit report.

National Health Service Corps Recruitment Cycle Files

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

Primary Care Cooperative Agreements

Disposition: Temporary Record. Retain 6 years following expiration of agreements.

Primary Care Cooperative Agreement

Disposition: Temporary Record. Retain 3 years.

Records Disposition Authority Approved Document

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

Records Disposition Authority Transmittal Forms and Annual Reports

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

Rural Health Development Survey and Assessment Data

Disposition: Temporary Record. Retain 3 years.

Small Rural Hospital Improvement Program Grant Agreements

Disposition: Temporary Record. Retain 6 years following expiration of agreements.

Small Rural Hospital Improvement Program Grant Agreements

Disposition: Temporary Record. Retain 6 years following expiration of agreements.

State Loan Repayment Program (SLRP) and ARRA SLRP Grant Files

Disposition: Temporary Record. Retain 6 years after completion of audit and release of audit report.

State Loan Repayment Program Recipient Files

Disposition: Temporary Record. Retain 6 years following expiration of agreements.

## ■ Office of Program Integrity

Agency Audit Reports (audits conducted by Examiners of Public Accounts)

Disposition: Temporary Record. Retain 6 years.

Audit Standards Manuals

Disposition: Temporary Record. Retain current copy.

County, Bureau, Private/Contract Agency Audit Planning Files

Disposition: Temporary Record. Retain until needed for future activities.

County, Bureau, Private/Contract Agency Audit Files/Reports

Disposition: Temporary Record. Retain 3 years after completion of agency audit and the release of the audit report. (Examiners' audit).

Statewide and Area Audit Reports Results

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

Imprest Bank Account Reconciliations and Other Bank Account Reports

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

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries.

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

## ■ Office of Radiation Control

SHELBY COUNTY GAS WELL LOGGING INCIDENT FILES (NO-LONGER CREATED)

Disposition: PERMANENT RECORD.

Inactive Radioactive Device Distribution Reports

Disposition: Temporary Record. Retain 5 years.

Inactive Radioactive Materials Registration, Licensing, and Radiation Exposure Records

Disposition: Temporary Record. Retain 75 years.

Inactive X-Ray Machine Registration Files

Disposition: Temporary Record. Retain 75 years.

Nuclear Power Plant Monitoring and Analysis Records

Disposition: Temporary Record. Retain 10 years.

X-Ray Equipment Registration Indexes and Files

Disposition: Temporary Record. Retain for useful life.

## ■ Office State Health Officer

MEETING AGENDAS, MINUTES, AND PACKETS OF THE STATE BOARD OF HEALTH AND THE STATE COMMITTEE OF PUBLIC HEALTH

Disposition: PERMANENT RECORD.

ADMINISTRATIVE FILES OF THE STATE HEALTH OFFICER

Disposition: PERMANENT RECORD.

## **Requirement and Recommendations for Implementing the Records Disposition Authority**

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 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 Alabama Department of Public Health (hereafter referred to as the agency) as stipulated in the document.

One condition of this authorization is that the agency submits an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Record 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 the permanent records held on alternative storage media (such as microfilms 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; (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.
- 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 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 24, 2013.

---

Steve Murray, Chairman  
State Records Commission

---

Date

Receipt acknowledged:

---

Donald E. Williamson, M.D.  
State Health Officer  
Alabama Department of Public Health

---

Date