



DEPARTMENT OF HEALTH

RECORDS RETENTION AND DESTRUCTION SCHEDULE

State of South Dakota

Bureau of Human Resources and Administration

Records Management Program

(605) 773-3589

ACKNOWLEDGEMENTS

PREPARED BY:

Bureau of Human Resources and Administration
Records Management Program
1320 East Sioux Avenue
Pierre, South Dakota 57501

2026

PROJECT STAFF

Melissa Magstadt, Secretary
Department of Health

The employees of the Department of Health
who contributed their time to explain the
purpose and review the content of each record.

Darcy McGuigan, Records Officer
Department of Health

Dana Hoffer
State Records Manager

STATE RECORD DESTRUCTION BOARD

Jason Kettwig, Deputy Commissioner
Bureau of Human Resources
and Administration
(Chairman)

Beverly J. Katz
Office of the Attorney General

Chelle Somsen, State Archivist
Department of Education

Jenna Latham
Office of the State Auditor

Russell Olson, State Auditor General
Legislative Audit

Dana Hoffer
State Records Manager

MEMORANDUM

TO: State Agencies

FROM: Dana Hoffer
State Records Manager

SUBJECT: **Records Retention and Destruction Schedule Manual**

DATE: July 30, 2026

In 1967, the South Dakota Legislature established the Records Management Program and the Records Destruction Board. In the same act, the Legislature required every State agency to develop a records retention and destruction schedule and declared that “No record shall be destroyed or otherwise disposed of by any agency of the State unless it is determined by majority vote of such board (Records Destruction Board) that the record has no further administrative, legal, fiscal, research or historical value.”

Pursuant to ARSD 10:04:01:03 (5), Review the inventory and the retention and destruction schedules **annually** and petition changes to the state records manager to make the schedules current, accurate, and complete.

According to Administrative Rule 24:52:11:01, any State government agency planning to destroy agency records shall notify the State Archivist 30 days before the date of the proposed destruction. The request shall include the name or title of the records, inclusive dates, information content of the records, and quantity. This rule applies to all records, including those granted exclusive or continuous disposal authorization by the Records Destruction Board, with the following exceptions: vouchers and supporting documents; warrants; personnel and payroll records; client/case files; capital asset inventories; cash receipts; and duplicate copies of state publications.

The State Archivist has 30 days to certify that the records have no permanent value and may be destroyed, or to make arrangements to transfer the records to the archives. If the Archivist fails to make a recommendation within this time, the records may be destroyed, provided that the agency has received authorization from the Records Destruction Board.

Finally, if you have any questions about implementing this manual or about your records in general, please contact Records Management at 773-3589. We will welcome an opportunity to discuss the proper implementation of sound records management practices.

PETITION FOR AUTHORITY TO DESTROY RECORDS

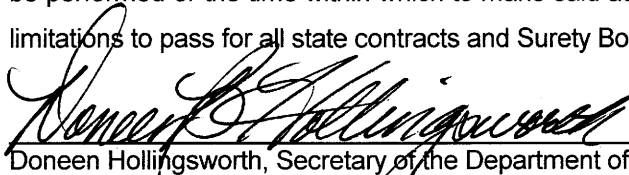
I, Doneen Hollingsworth (name), acting in my position as Secretary of the Department of Health (title), request that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19 and ARSD 10:03:01-02.

The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Department of Health (department) consists of 137 pages and contains record series number(s) DOH-1 (consecutively re-numbered) through DOH-226.

The authority requested is to destroy each record described in the attached Schedule at the expiration of the time provided for the retention of each record.

Authority is also requested to delete "Records Retention and Destruction Schedule" Authorization of the Department of Health (department) record series numbers(s) HEA-2, HEA-3, HEA-4, HEA-6, HEA-7, HEA-9, HEA-10, HEA-12, HEA-13, HEA-14, HEA-15, HEA-16, HEA-18, HEA-19, HEA-20, HEA-21, HEA-22, HEA-23, HEA-24, HEA-25, HEA-26, HEA-27, HEA-28, HEA-29, HEA-31, HEA-32, HEA-33, HEA-34, HEA-35, HEA-37, HEA-40, HEA-41, HEA-42, HEA-43, HEA-44, HEA-45, HEA-46, HEA-49, HEA-50, HEA-51, HEA-52, HEA-53, HEA-54, HEA-55, HEA-56, HEA-57, HEA-58, HEA-59, HEA-61, HEA-62, HEA-65, HEA-67, HEA-63, HEA-72, HEA-81, HEA-83, HEA-84, HEA-87, HEA-90, HEA-99, HEA-100, HEA-106, HEA-107, HEA-112, HEA-172, HEA-319, HEA-321, HEA-206, HEA-327, HEA-328, HEA-330, HEA-344, HEA-234, HEA-240, HEA-242, HEA-248, HEA-257, HEA-258, HEA-259, HEA-260, HEA-261, HEA-262, HEA-263, HEA-264, HEA-265, HEA-267, HEA-268, HEA-270, HEA-271, HEA-278, HEA-280, HEA-284, HEA-285, HEA-289, HEA-291, HEA-294, HEA-295, HEA-298, HEA-299, HEA-300, HEA-302, HEA-303, HEA-304, HEA-305, HEA-306, HEA-307, HEA-338, HEA-345, HEA-315, HEA-347, HEA-348, HEA-348-1, HEA-349, HEA-350, and HEA-351.

The undersigned certifies that the retention for each and every record petitioned to be destroyed does not violate any minimum retention time required by state statute; will allow for required state and federal audits to be performed or the time within which to make said audits to pass; and will allow for all applicable statutes of limitations to pass for all state contracts and Surety Bonds.


Doneen Hollingsworth, Secretary of the Department of Health

11-507
Date

The above and foregoing Petition is hereby recommended for approval by the State Records Destruction Board.


Dana Hoffer, State Records Manager

11-13-07
Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 14th day of November, 2007, and authorized the destruction of the records described in the foregoing Petition at the expiration time provided for their storage.


Signature, Chairman of the Board

11-14-07
Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Doneen Hollingsworth (name), acting in my position as Secretary of the Department of Health (title), request that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19 and ARSD 10:03:01-02.

The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Department of Health (department) consists of 6 pages and contains record series number(s) DOH-74, DOH-124, DOH, 125, DOH-141, DOH-149, and DOH-164.

The authority requested is to destroy each record described in the attached Schedule at the expiration of the time provided for the retention of each record.

Authority is also requested to delete "Records Retention and Destruction Schedule" Authorization of the Department of Health (department) record series numbers(s) DOH-76, DOH-115, DOH-131, DOH-135, DOH-139, DOH-144, and DOH-165.

The undersigned certifies that the retention for each and every record petitioned to be destroyed does not violate any minimum retention time required by state statute; will allow for required state and federal audits to be performed or the time within which to make said audits to pass; and will allow for all applicable statutes of limitations to pass for all state contracts and Surety Bonds.


Doneen Hollingsworth, Secretary of the Department of Health

12-1-08
Date

The above and foregoing Petition is hereby recommended for approval by the State Records Destruction Board.


Dana Hoffer, State Records Manager

12-11-08
Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 11th day of December, 2008, and authorized the destruction of the records described in the foregoing Petition at the expiration time provided for their storage.


Signature, Chairman of the Board

12-11-08
Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

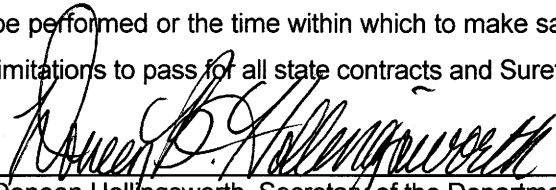
I, Doneen Hollingsworth (name), acting in my position as Secretary of the Department of Health (title), request that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19 and ARSD 10:03:01-02.

The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Department of Health (department) consists of 11 pages and contains record series number(s) DOH-3, DOH-107, DOH, 113, DOH-114, DOH-121, DOH-124, DOH-112, DOH-137, DOH-138, DOH-140, and DOH-168.

The authority requested is to destroy each record described in the attached Schedule at the expiration of the time provided for the retention of each record.

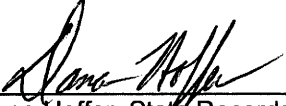
Authority is also requested to delete "Records Retention and Destruction Schedule" Authorization of the Department of Health (department) record series numbers(s) N/A.

The undersigned certifies that the retention for each and every record petitioned to be destroyed does not violate any minimum retention time required by state statute; will allow for required state and federal audits to be performed or the time within which to make said audits to pass; and will allow for all applicable statutes of limitations to pass for all state contracts and Surety Bonds.


Doneen Hollingsworth, Secretary of the Department of Health

11-6-10
Date

The above and foregoing Petition is hereby recommended for approval by the State Records Destruction Board.


Dana Hoffer, State Records Manager

12-14-2010
Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 15th day of December, 2010, and authorized the destruction of the records described in the foregoing Petition at the expiration time provided for their storage.


Signature, Chairman of the Board

12/15/10
Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

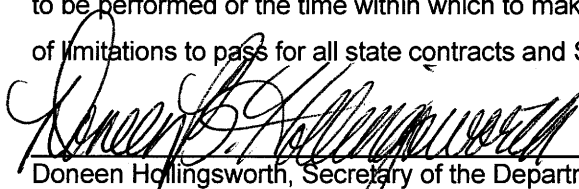
I, Doneen Hollingsworth (name), acting in my position as Secretary of the Department of Health (title), request that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19 and ARSD 10:03:01-02.

The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Department of Health (department) consists of 8 pages and contains record series number(s) DOH-7, DOH-9, DOH-10, DOH-16, DOH-20, DOH-22, DOH-27, DOH-29, and DOH-28.

The authority requested is to destroy each record described in the attached Schedule at the expiration of the time provided for the retention of each record.

Authority is also requested to delete "Records Retention and Destruction Schedule" Authorization of the Department of Health (department) record series numbers(s) DOH-13, DOH-18, DOH-23, DOH-26, and DOH-30.

The undersigned certifies that the retention for each and every record petitioned to be destroyed does not violate any minimum retention time required by state statute; will allow for required state and federal audits to be performed or the time within which to make said audits to pass; and will allow for all applicable statutes of limitations to pass for all state contracts and Surety Bonds.



Doneen Hollingsworth, Secretary of the Department of Health

11/21/13

Date

The above and foregoing Petition is hereby recommended for approval by the State Records Destruction Board.



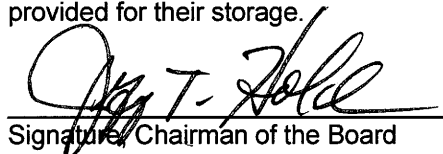
Dana Hoffer, State Records Manager

12/5/13

Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 12th day of December, 2013, and authorized the destruction of the records described in the foregoing Petition at the expiration time provided for their storage.



Signature, Chairman of the Board

12-12-13

Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Kim Malsam-Rysdon (name), acting in my position as Secretary of the Department of Health (title), request that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19 and ARSD 10:03:01-02.

The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Department of Health (department) consists of 1 page and contains record series number(s) DOH-6.2.

The authority requested is to destroy each record described in the attached Schedule at the expiration of the time provided for the retention of each record.

The undersigned certifies that the retention for each and every record petitioned to be destroyed does not violate any minimum retention time required by state statute; will allow for required state and federal audits to be performed or the time within which to make said audits to pass; and will allow for all applicable statutes of limitations to pass for all state contracts and Surety Bonds.

Kim Malsam-Rysdon
Kim Malsam-Rysdon, Secretary of the Department of Health

11/4/16
Date

The above and foregoing Petition is hereby recommended for approval by the State Records Destruction Board.

Dana Hoffer
Dana Hoffer, State Records Manager

12-1-2016
Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 20th day of December, 2016, and authorized the destruction of the records described in the foregoing Petition at the expiration time provided for their storage.

David L. Byrnes
Signature, Chairman of the Board

12-20-16
Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Kim Malsam-Rysdon, acting in my position as Secretary of the Department of Health, request that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19 and ARSD 10:03:01-02.

The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Department of Health (department) consists of 4 pages and contains record series number(s) DOH-3, DOH-87, DOH-141, and DOH-149.

The authority requested is to destroy each record described in the attached Schedule at the expiration of the time provided for the retention of each record.

Authority is also requested to delete "Records Retention and Destruction Schedule" Authorization of the Department of Health (department) record series numbers(s) DOH-88.

The undersigned certifies that the retention for each and every record petitioned to be destroyed does not violate any minimum retention time required by state statute; will allow for required state and federal audits to be performed or the time within which to make said audits to pass; and will allow for all applicable statutes of limitations to pass for all state contracts and Surety Bonds.

Kim Malsam-Rysdon
Kim Malsam-Rysdon, Secretary of the Department of Health

11/2/17
Date

The above and foregoing Petition is hereby recommended for approval by the State Records Destruction Board.

Dana Hoffer
Dana Hoffer, State Records Manager

11-16-2017
Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 11th day of December, 2017, and authorized the destruction of the records described in the foregoing Petition at the expiration time provided for their storage.

Dana W. Brys
Signature, Chairman of the Board

12-11-17
Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Kim Malsam-Rysdon, acting in my position as Secretary of the Department of Health, request that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19 and ARSD 10:03:01-02.

The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Department of Health consists of 1 page(s) and contains record series number(s) DOH-164.

The authority requested is to destroy each record described in the attached Schedule at the expiration of the time provided for the retention of each record.

Authority is also requested to delete "Records Retention and Destruction Schedule" Authorization of the Department of Health consists of 1 page(s) and contains record series number(s) DOH-176.

The undersigned certifies that the retention for each and every record petitioned to be destroyed does not violate any minimum retention time required by state statute; will allow for required state and federal audits to be performed or the time within which to make said audits to pass; and will allow for all applicable statutes of limitations to pass for all state contracts and Surety Bonds.

Kim Malsam-Rysdon
Kim Malsam-Rysdon, Secretary of the Department
of Health

6/14/19
Date

The above and foregoing Petition is hereby recommended for approval by the State Records Destruction Board.

Dana Hoffer
Dana Hoffer, State Records Manager

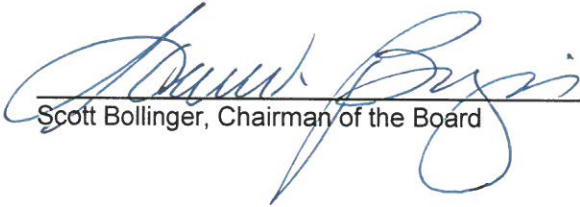
7/3/2019
Date

Records Destruction Board's Action:

- Approved as originally petitioned.

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 16th day of July, 2019, and authorized the destruction of the records as described in the foregoing Petition subject to the Addendum which is hereby incorporated and made part of the Destruction Authority at the expiration time provided for their storage. I further certify that the change(s) to the Petition as indicated in the Addendum was authorized by and through the action(s) of the State Records Destruction Board. **Authority is granted under Records Destruction Board (RDB) Number 19-002.**



Scott Bollinger, Chairman of the Board

7-16-19

Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Kim Malsam-Rysdon, acting in my position as Secretary of the Department of Health, request that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19 and ARSD 10:03:01-02.

The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Department of Health consists of 6 page(s) and contains record series number(s) DOH-109, DOH-110, DOH-113, DOH-146, DOH-148, and DOH-159.

The authority requested is to destroy each record described in the attached Schedule at the expiration of the time provided for the retention of each record.

Authority is also requested to delete "Records Retention and Destruction Schedule" Authorization of the Department of Health consists of 4 page(s) and contains record series number(s) DOH-73, DOH-112, DOH-114, and DOH-138.

The undersigned certifies that the retention for each and every record petitioned to be destroyed does not violate any minimum retention time required by state statute; will allow for required state and federal audits to be performed or the time within which to make said audits to pass; and will allow for all applicable statutes of limitations to pass for all state contracts and Surety Bonds.

Kim Malsam-Rysdon
Kim Malsam-Rysdon, Secretary of the Department
of Health

5/4/20
Date

The above and foregoing Petition is hereby recommended for approval by the State Records Destruction Board.

Dana Hoffer
Dana Hoffer, State Records Manager

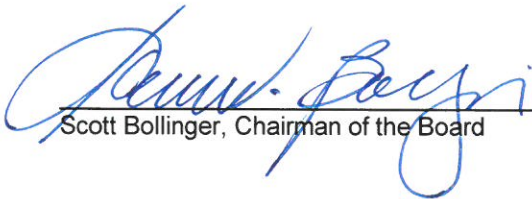
5/5/2020
Date

Records Destruction Board's Action:

- Approved as originally petitioned.

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 16th day of July, 2020, and authorized the destruction of the records as described in the foregoing Petition subject to the Addendum which is hereby incorporated and made part of the Destruction Authority at the expiration time provided for their storage. I further certify that the change(s) to the Petition as indicated in the Addendum was authorized by and through the action(s) of the State Records Destruction Board. **Authority is granted under Records Destruction Board (RDB) Number 20-002.**



Scott Bollinger, Chairman of the Board

7-16-2020
Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Kim Malsam-Rysdon, acting in my position as Secretary of the Department of Health, request that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19 and ARSD 10:03:01-02.

The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Department of Health consists of 1 page(s) and contains record series number(s) DOH-3.

The authority requested is to destroy each record described in the attached Schedule at the expiration of the time provided for the retention of each record.

The undersigned certifies that the retention for each and every record petitioned to be destroyed does not violate any minimum retention time required by state statute; will allow for required state and federal audits to be performed or the time within which to make said audits to pass; and will allow for all applicable statutes of limitations to pass for all state contracts and Surety Bonds.

Kim Malsam-Rysdon
Kim Malsam-Rysdon, Secretary of the Department
of Health

6/8/21
Date

The above and foregoing Petition is hereby recommended for approval by the State Records Destruction Board.

Dana Hoffer
Dana Hoffer, State Records Manager

6/9/2021
Date

Records Destruction Board's Action:

- Approved as originally petitioned.

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 14th day of July, 2021, and authorized the destruction of the records as described in the foregoing Petition subject to the Addendum which is hereby incorporated and made part of the Destruction Authority at the expiration time provided for their storage. I further certify that the change(s) to the Petition as indicated in the Addendum was authorized by and through the action(s) of the State Records Destruction Board. **Authority is granted under Records Destruction Board (RDB) Number 21-005.**



Scott W. Bollinger, Chairman of the Board

7-14-2021
Date

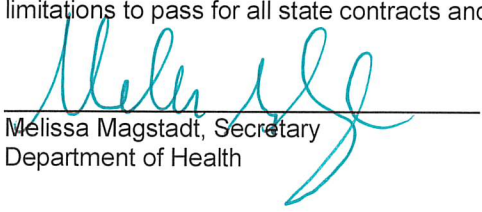
PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Melissa Magstadt, acting in my position as the Secretary of the Department of Health, request that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19, and ARSD 10:03:01-02.

The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Department of Health consists of 1 page(s) and contains record series number(s) DOH-6.

The authority requested is to destroy each record described in the attached Schedule at the expiration of the time provided for the retention of each record.

The undersigned certifies that the retention for each and every record petitioned to be destroyed does not violate any minimum retention time required by state statute; will allow for required state and federal audits to be performed or the time within which to make said audits to pass; and will allow for all applicable statutes of limitations to pass for all state contracts and Surety Bonds.



Melissa Magstadt, Secretary
Department of Health

5-16-24

Date

The above and foregoing Petition is hereby recommended for approval by the State Records Destruction Board



Dana Hoffer, State Records Manager

5/21/2024

Date

Records Destruction Board's Action:

- Approved as originally petitioned.

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 30th day of July 2024 and authorized the destruction of the records as described in the foregoing Petition subject to the Addendum which is hereby incorporated and made part of the Destruction Authority at the expiration time provided for their storage. I further certify that the change(s) to the Petition as indicated in the Addendum was authorized by and through the action(s) of the State Records Destruction Board. **Authority is granted under Records Destruction Board (RDB) Number 24-004.**

Jason.Kettwig Digitally signed by Jason.Kettwig
Date: 2024.07.31 08:04:45 -05'00'

Jason W. Kettwig, Chairman of the Board

07/30/2024

Date

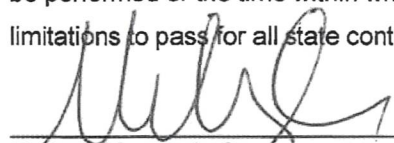
PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Melissa Magstadt, acting in my position as the Secretary of the Department of Health, request that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19, and ARSD 10:03:01-02.

The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Department of Health consists of 3 page(s) and contains record series number(s) DOH-149, DOH-169, and DOH-89.

The authority requested is to destroy each record described in the attached Schedule at the expiration of the time provided for the retention of each record.

The undersigned certifies that the retention for each and every record petitioned to be destroyed does not violate any minimum retention time required by state statute; will allow for required state and federal audits to be performed or the time within which to make said audits to pass; and will allow for all applicable statutes of limitations to pass for all state contracts and Surety Bonds.



Melissa Magstadt, Secretary
Department of Health

6/23/2024
Date

The above and foregoing Petition is hereby recommended for approval by the State Records Destruction Board.



Dana Hoffer, State Records Manager

6/25/2026
Date

Records Destruction Board's Action:

- Approved as originally petitioned.

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 28th day of July 2026 and authorized the destruction of the records as described in the foregoing Petition subject to the Addendum which is hereby incorporated and made part of the Destruction Authority at the expiration time provided for their storage. I further certify that the change(s) to the Petition as indicated in the Addendum was authorized by and through the action(s) of the State Records Destruction Board. **Authority is granted under Records Destruction Board (RDB) Number 26-001.**



Jason W. Kettwig, Chairman of the Board

7/28/26
Date

South Dakota Codified Laws:

1-27-1. Public records open to inspection and copying. Except as otherwise expressly provided by statute, all citizens of this state, and all other persons interested in the examination of the public records, as defined in § 1-27-1.1, are hereby fully empowered and authorized to examine such public record, and make memoranda and abstracts there from during the hours the respective offices are open for the ordinary transaction of business and, unless federal copyright law otherwise provides, obtain copies of public records in accordance with this chapter.

Each government entity or elected or appointed government official shall, during normal business hours, make available to the public for inspection and copying in the manner set forth in this chapter all public records held by that entity or official.

1-27-1.1. Public records defined. Unless any other statute, ordinance, or rule expressly provides that particular information or records may not be made public, public records include all records and documents, regardless of physical form, of or belonging to this state, any county, municipality, political subdivision, or tax-supported district in this state, or any agency, branch, department, board, bureau, commission, council, subunit, or committee of any of the foregoing. Data which is a public record in its original form remains a public record when maintained in any other form. For the purposes of §§ 1-27-1 to 1-27-1.15, inclusive, a tax-supported district includes any business improvement district created pursuant to chapter 9-55.

1-27-9. Records management programs--Definition of terms. Terms used in §§ 1-27-9 to 1-27-18, inclusive, mean:

(2) "Record," a document, book, paper, photograph, sound recording, or other material, regardless of physical form or characteristics, made or received pursuant to law or ordinance or in connection with the transaction of official business. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included within the definition of records as used in §§ 1-27-9 to 1-27-18, inclusive.

1-27-11. Board to supervise destruction of records--State records manager as ex officio member--Permission required for destruction. There is hereby created a board consisting of the commissioner of administration, state auditor, attorney general, auditor-general, and state archivist to supervise and authorize the destruction of records. The state records manager shall also serve as an ex officio member in an advisory capacity only. No record may be destroyed or otherwise disposed of by any agency of the state unless it is determined by majority vote of the board that the record has no further administrative, legal, fiscal, research, or historical value.

1-27-15. Destruction of non-record materials. Any non-record material not included within the definition of records as contained in § 1-27-9 may be destroyed at any time by the agency in possession of such materials without the prior approval of the commissioner of administration.

Notes, Record Handling, & Definitions:

Notes:

- Pursuant to ARSD 10:04:01:03 (5), Review the inventory and the retention and destruction schedules **annually** and petition changes to the state records manager to make the schedules current, accurate, and complete.

Record Handling:

- EDMS = Electronic Document Management System (used to manage the creation, storage, capture, distribution, retention, and retrieval of documents within a centralized repository).
- Unless this records retention and destruction schedule specifies otherwise, retain scanned paper for 3 business days after a system-level backup of the records has occurred, then destroy provided all images have been verified to be accurate and complete.
- BIT's system-level backups occur daily.
- Consider converting long-term/permanent retention electronic images to microfilm.
- Records retention rules apply to all records, regardless of the media on which they reside.
- If records are being retained only in electronic format, the record must remain accessible for the entire retention requirement.
- Records, regardless the format, relevant to pending or reasonable anticipated litigation must be preserved even if this manual allows for its destruction.

Definitions:

Superseded: To take the place of; replace.

Obsolete: No longer in use.

TABLE OF CONTENTS

DEPARTMENT: Health

DIVISION: Administration

DOH-1.	ADMINISTRATIVE REFERENCE FILES:	1
DOH-2.	CASH RECEIPT BOOKLETS:	1
DOH-3.	CONTRACTS AND AGREEMENTS FILES:	2
DOH-4.	GRANT FILES:	3
DOH-5.	LEGAL COUNSEL WORKING PAPERS:	4
DOH-6.	RECORDS MANAGEMENT FILES:	4
DOH-6.1.	SURPLUS PROPERTY FILES:	5

DIVISION: Correctional Health

DOH-6.2.	CORRECTIONAL HEALTH PATIENT CASE RECORDS: TRANSFERRED TO THE DEPARTMENT OF CORRECTIONS, EFFECTIVE 07/01/2024.	6
----------	--	---

DIVISION: Health Administration

Data Statistics & Vital Records:

DOH-7.	ABORTION REPORTS:	7
DOH-8.	ADMINISTRATIVE REFERENCE FILES:	7
DOH-9.	ANNUAL REPORT ORIGINAL FILES:	8
DOH-10.	BIRTH CERTIFICATES:	9
DOH-11.	BIRTH INDEX, CHRONOLOGICAL:	10
DOH-12.	BIRTH RECORDS, GENEALOGICAL:	10
DOH-14.	DEATH RECORDS:	11
DOH-15.	DEATH REPORT STATISTICS:	12
DOH-16.	DISINTERMENT/REINTERMENT APPLICATIONS:	12
DOH-17.	DIVORCE RECORDS:	13
DOH-19.	ELECTRONIC VITAL RECORD AND SCREENING SYSTEM (EVRSS) DATABASE:	14
DOH-20.	FETAL DEATH RECORDS:	15
DOH-21.	FUNERAL DIRECTORS' REPORTS:	15
DOH-22.	HOSPITAL AND NURSING HOME REPORTS:	16
DOH-24.	MARRIAGE RECORDS:	17
DOH-25.	MOTOR VEHICLE ACCIDENT REPORTS:	18
DOH-27.	NONRESIDENT TRANSCRIPTS:	19
DOH-29.	TRANSMITTAL SHEETS:	19
DOH-31.	VITAL STATISTICS GUIDELINES, FEDERAL:	20
DOH-32.	YEARLY SERIES RECORDS:	20

Laboratory Services:

DOH-33.	ADMINISTRATIVE REFERENCE FILES:	21
DOH-34.	AIR QUALITY WORKSHEETS:	21
DOH-35.	AIR SAMPLE DATA ENVELOPES:	22
DOH-36.	AUTOCLAVE CHARTS:	22
DOH-37.	BLOOD ALCOHOL CONTENT (BAC) AND DRUG ANALYSIS WORKSHEETS:	23
DOH-38.	BLOOD ALCOHOL REPORT SLIPS:	23
DOH-39.	CONTAINER REQUESTS:	24
DOH-40.	ECOLOGICAL BACTERIOLOGY LOGS:	24
DOH-41.	EQUIPMENT FILES:	25
DOH-42.	ETHYL ALCOHOL LOG:	25

TABLE OF CONTENTS

DOH-43.	FOOD RELATED ILLNESSES OUTBREAK FILE:	26
DOH-44.	LABORATORY TEST RESULTS (NEGATIVE):	26
DOH-45.	LABORATORY TEST RESULTS (POSITIVE):	27
DOH-46.	MEDICAL RECORDS SYSTEM:.....	27
DOH-47.	PACKING SLIPS:.....	28
DOH-48.	QUALITY ASSURANCE FILES:	28
DOH-49.	QUALITY CONTROL CHARTS:.....	29
DOH-50.	QUALITY CONTROL DATA SHEETS:	29
DOH-51.	QUALITY CONTROL LOGS:	30
DOH-52.	RABIES TEST RESULTS:.....	30
DOH-53.	RADIOCHEMISTRY DATA FILES:	31
DOH-54.	RESULTS PRINTOUTS:	31
DOH-55.	SAMPLES AND CONTAINERS REQUEST LOG:	32
DOH-56.	SPECIMEN KIT LOGS:	32
DOH-57.	SPECIMEN LOGS, (VIRAL AND BACTERIAL):	33
DOH-58.	SUBMITTER FORMS:.....	33
DOH-59.	VENDOR LOGS AND CARD FILES:	34
DOH-60.	WASTEWATER FILES:	34
DOH-61.	WATER ANALYSIS LOGS:.....	35
DOH-62.	WATER DATA REPORTS:	35
DOH-63.	WATER TEST WORKSHEETS, DAILY:	36

Management Services:

DOH-64.	WORKSHEETS:	36
DOH-65.	A-87 INDIRECT COST PROPOSAL:	37
DOH-66.	ADMINISTRATIVE REFERENCE FILES:	37
DOH-67.	BAD DEBTS:	38
DOH-68.	BANK STATEMENTS:	38
DOH-69.	FEE ACCOUNTING LEDGERS:	39
DOH-70.	FEE ACCOUNTING RECEIPTS:.....	39
DOH-71.	HIPAA DOCUMENTATION:	40
DOH-72.	TRANSMITTAL OF FEES PRINTOUTS:.....	40

DIVISION: Family & Community Health

Office of Child & Family Services:

DOH-107.	ADMINISTRATIVE APPEALS, CIVIL RIGHTS COMPLAINTS, FAIR HEARING REQUESTS, MISUSE/GENERAL COMPLAINTS:	41
DOH-73.	ADMINISTRATIVE REFERENCE FILES: DELETED FROM SCHEDULE, 07/16/2020.	41
DOH-108.	ADMINISTRATIVE REFERENCE FILES:	42
DOH-74.	COMMUNITY HEALTH SERVICES NUMBERED MEMORANDUMS:	42
DOH-109.	CONTRACTS, WIC RETAILERS:	43
DOH-75.	DESK FILES, ADMINISTRATIVE ASSISTANT:.....	43
DOH-110.	DUAL PARTICIPATION REPORTS:.....	44
DOH-111.	FAMILY PLANNING ANNUAL REPORT:	44
DOH-77.	FTE REPORT:	45
DOH-113.	LOCAL WIC AGENCY FILES:.....	45
DOH-114.	LOST OR STOLEN CHECK FOLLOW-UP REPORTS: DELETED FROM SCHEDULE, 07/16/2020.....	45
DOH-116.	MONTHLY EXPENDITURE REPORTS, WIC LOCAL AGENCIES:	46
DOH-117.	NBS LABORATORY REPORTS, NORMAL:	46

TABLE OF CONTENTS

DOH-118.	NEWBORN SCREENING PROGRAM, FOLLOW-UP:.....	47
DOH-119.	NEWBORN SCREENING PROGRAM REPORTS:	47
DOH-120.	PATIENT CASE RECORDS-CSHS:	48
DOH-121.	SITE ASSESSMENTS/SELF ASSESSMENTS/CIVIL RIGHTS TRAINING:	49
DOH-122.	SPECIAL PROCEDURES APPROVAL LOGS-FP:	49
DOH-123.	USDA REGIONAL REPORTS:.....	50
DOH-124.	WIC BANK CDS:	50
DOH-112.	WIC CHECKS: DELETED FROM SCHEDULE, 07/16/2020.....	50

OCFS-Field Offices:

DOH-125.	AGES AND STAGES QUESTIONNAIRES:.....	51
DOH-126.	ADMINISTRATIVE REFERENCE FILES:	51
DOH-127.	AUTHORIZATION FOR SERVICES (HS348):	52
DOH-128.	BABY CARE CLIENT RECORDS:.....	52
DOH-129.	BAD DEBT RECORDS:	53
DOH-137.	CHECK REGISTER:.....	53
DOH-138.	CHECK STATUS FORMS: DELETED FROM SCHEDULE, 07/16/2020.	54
DOH-130.	CLIENT SATISFACTION SURVEY SUMMARIES-FP:.....	54
DOH-132.	CONTRACT TB PHYSICIAN REIMBURSEMENT FORM (HS417)-FIELD OFFICES:	55
DOH-133.	CONVERTOR CLUSTER INVESTIGATION WORKSHEET (HS430)-FIELD OFFICES:	55
DOH-134.	DAILY STAFF ACTIVITY WORKSHEET:	56
DOH-136.	FINANCIAL INFORMATION AND LEDGER CARDS:.....	56
DOH-140.	IMMUNIZATION CLINIC AUDIT:.....	57
DOH-141.	IMMUNIZATION CONSENT FORMS:	57
DOH-142.	LATENT TUBERCULOSIS INFECTION REPORT FORM (HS400)-FIELD OFFICES:	58
DOH-143.	LATENT TUBERCULOSIS PATIENT RECORD:	59
DOH-145.	MEDICAID BILLINGS:.....	60
DOH-146.	NUTRITION EDUCATION & MARKETING PLAN:	60
DOH-147.	OFFICE OF DISEASE PREVENTION RELEASE OF INFORMATION:	61
DOH-148.	PARTICIPANT FILES:.....	61
DOH-149.	PATIENT CASE RECORDS-CHS:.....	62
DOH-150.	PATIENT CASE RECORDS-FP:	63
DOH-151.	RECEIPT BOOK:	64
DOH-152.	REFUGEE PAPERWORK:	64
DOH-153.	SCHOOL CARDS:	65
DOH-154.	SIOUX FALLS TB CLINIC APPOINTMENT LOG (HS435):	65
DOH-155.	SOUTH DAKOTA DEPARTMENT OF HEALTH EMPLOYEE TB SYMPTOM EDUCATION FORM (HS351)-FIELD OFFICE:	66
DOH-156.	SUSPECT TUBERCULOSIS CASE FILES-FIELD OFFICES:	67
DOH-157.	TB CLIENT CHANGE OF STATUS FORM (HS437)-FIELD OFFICE:	67
DOH-158.	TB CLUSTER INVESTIGATION FORM FOR RECORD ABSTRACTION & PATIENT INTERVIEW (HS445)-FIELD OFFICE:	68
DOH-159.	TRANSFER VERIFICATION OF CERTIFICATION (VOC):	68
DOH-160.	TUBERCULOSIS CASE CHART-FIELD OFFICE:	69
DOH-161.	TUBERCULOSIS LABORATORY REPORTS, STATE PUBLIC HEALTH LABORATORY:	70
DOH-162.	TUBERCULOSIS REACTOR CARD (HS402)-FIELD OFFICE:	70
DOH-163.	TUBERCULOSIS X-RAYS:.....	71
DOH-164.	VACCINE ADMINISTRATION RECORD:.....	71
DOH-166.	WIC MONTHLY EXPENDITURE REPORTS:.....	72

TABLE OF CONTENTS

Chronic Disease Prevention & Health Promotion:

DOH-167.	ADMINISTRATIVE REFERENCE FILES:	73
DOH-168.	ALL WOMEN COUNT! PARTICIPANT FORMS:.....	73
DOH-169.	BREAST AND CERVICAL CANCER CONTROL, BILLING REPORT:.....	74
DOH-170.	CONTINUING EDUCATION DOCUMENTATION:.....	75
DOH-28.	PATHOLOGY REPORTS:	76
DOH-171.	QUARTERLY DEATH REPORTS:	76

Office of Disease Prevention:

DOH-78.	ADMINISTRATIVE REFERENCE FILES:	77
DOH-79.	CONTRACT TB PHYSICIAN REIMBURSEMENT FORM (HS417):	77
DOH-80.	CONVERTOR CLUSTER INVESTIGATION WORKSHEET (HS430):.....	78
DOH-81.	EPIDEMIOLOGY (EPI) ANIMAL RABIES RECORDS:.....	78
DOH-82.	EPIDEMIOLOGY (EPI) CHRONIC HEPATITIS REGISTRY:.....	79
DOH-83.	EPIDEMIOLOGY (EPI) INVESTIGATION RECORDS (GERF'S):	79
DOH-84.	EPIDEMIOLOGY (EPI) OUTBREAK FILES:	80
DOH-85.	EPIDEMIOLOGY (EPI) SURVEILLANCE RECORDS (NETSS):	80
DOH-86.	EPIDEMIOLOGY (EPI) SURVEILLANCE REPORTS:	81
DOH-87.	HIV/AIDS CASE REGISTRY:	81
DOH-89.	IMMUNIZATION CERTIFICATES:	82
DOH-90.	INTERSTATE REPORTING OF REPORTABLE DISEASES:	82
DOH-91.	LATENT TUBERCULOSIS INFECTION REPORT FORM (HS400):	83
DOH-92.	MEDICATION DISTRIBUTION FORM:.....	83
DOH-93.	OFFICE OF DISEASE PREVENTION RELEASE OF INFORMATION:	84
DOH-94.	RYAN WHITE CARE PROGRAM ACTIVE CLIENTS:	84
DOH-95.	SOUTH DAKOTA DEPARTMENT OF HEALTH EMPLOYEE TB SYMPTOM EDUCATION FORM (HS351):	85
DOH-96.	STD MORBIDITY & CASE INVESTIGATION REPORTS:	85
DOH-97.	SUSPECT TUBERCULOSIS CASE FILE:	86
DOH-98.	SYPHILIS REGISTRY:	86
DOH-99.	TB CLIENT CHANGE OF STATUS FORM (HS437):.....	87
DOH-100.	TB CLUSTER INVESTIGATION FORM FOR RECORD ABSTRACTION AND PATIENT INTERVIEW (HS445):	87
DOH-101.	TB LABORATORY REPORTS, STATE PUBLIC HEALTH LABORATORY:	88
DOH-102.	TB MANAGEMENT REPORTS:.....	88
DOH-103.	TB PROGRAM CONTRACT CHARTS:	89
DOH-104.	TUBERCULOSIS CASE CHART:.....	90
DOH-105.	TUBERCULOSIS REACTOR CARD (HS402):	91
DOH-106.	VACCINE PROVIDER CONTRACT:	91

DIVISION: Health Systems Development & Registration

Health Protection:

DOH-172.	ADMINISTRATIVE REFERENCE FILES:	92
DOH-173.	CONTRACTS, FEE REVERSIONS:	92
DOH-174.	ESTABLISHMENT INSPECTION INDEX (COMPUTER):	93
DOH-175.	ESTABLISHMENT LICENSE INSPECTION FILES:.....	93
DOH-177.	INVESTIGATION FILES (MISCELLANEOUS):	94
DOH-178.	TEMPORARY ESTABLISHMENT FILES:.....	94

TABLE OF CONTENTS

Licensure & Certification:

DOH-179.	ADMINISTRATIVE REFERENCE FILES:	95
DOH-180.	APPLICATIONS, CONTROLLED SUBSTANCE REGISTRANTS:	95
DOH-181.	ARCHITECTURAL DRAWING LOGS:	96
DOH-182.	ARCHITECTURAL DRAWINGS:	96
DOH-183.	AUDITS, CONTROLLED SUBSTANCE REGISTRANTS:	97
DOH-184.	BONDS:	97
DOH-185.	CLOSED FILES - MEDICAL FACILITIES:	98
DOH-186.	CLOSED LABORATORY FILES:	98
DOH-187.	COMPLAINTS, MEDICAL FACILITIES:	99
DOH-188.	CORRESPONDENCE, HCFA:	100
DOH-189.	DIRECTORY, LICENSED AND CERTIFIED FACILITIES:	100
DOH-190.	DRUG DESTRUCTION RECORDS:	101
DOH-191.	FDA INSPECTION REPORTS:	101
DOH-192.	FIRE INCIDENT REPORT LOGS:	102
DOH-193.	INSPECTION REPORTS, X-RAY EQUIPMENT:	102
DOH-194.	INVESTIGATION REPORTS, CONTROLLED SUBSTANCES:	103
DOH-195.	LABORATORY FILES:	103
DOH-196.	LICENSE FILES, X-RAY FACILITIES:	104
DOH-197.	MAMMOGRAPHY CERTIFICATION FILES:	104
DOH-198.	MEDICAL FACILITIES FILES:	105
DOH-199.	NATIONWIDE EVALUATION OF X-RAY TRENDS (NEXT) SURVEYS:	106
DOH-200.	POLICY INTERPRETATION, FEDERAL:	106
DOH-201.	POLICY INTERPRETATION, STATE:	107
DOH-202.	PROFICIENCY EXAMINATION RESULTS, H.E.W.:	108
DOH-203.	PROFICIENCY TESTING FILES, BLOOD BANK:	108
DOH-204.	PROFICIENCY TESTING FILES, GENERAL:	109
DOH-205.	QUARTERLY REPORTS, HCFA:	109
DOH-206.	RADIATION INFORMATION FILES:	110
DOH-207.	REFERENCE FILES, PHYSICAL PLANTS:	111
DOH-208.	REFERENCE FILES, RADIOLOGY:	112
DOH-209.	REFERENCE FILES, SUBSTANCE CONTROL:	113
DOH-210.	REGISTRATION FILES, CONTROLLED SUBSTANCE REGISTRANTS:	114
DOH-211.	RESIDENTIAL LIVING CENTERS:	114
DOH-212.	STATE AGENCY EVALUATION PROGRAM (SAEP):	115
DOH-213.	SURVEY LOGS:	115
DOH-214.	X-RAY AND RADIATION INSPECTION EQUIPMENT LOGS:	116

Public Health Prepare & Response:

DOH-215.	ADMINISTRATIVE REFERENCE FILES:	117
DOH-216.	CORRESPONDENCE, FEDERAL GRANT:	117
DOH-217.	DIRECTORY--MEDICAL FACILITIES, STAFF, VOLUNTEERS, & RESOURCES:	118
DOH-218.	HOSPITAL PREPAREDNESS RECORDS:	119
DOH-219.	NEEDS ASSESSMENTS AND LDAP MATERIALS:	119
DOH-220.	PUBLIC HEALTH PREPAREDNESS & RESPONSE, SPECIAL PROJECTS:	120
DOH-221.	ADMINISTRATIVE REFERENCE FILES:	121
DOH-222.	DEMOGRAPHICS STUDIES FILES:	121
DOH-223.	HEALTH PROFESSION SHORTAGE DETERMINATION:	122
DOH-224.	PRIMARY CARE:	123
DOH-225.	RURAL HEALTH TELEMEDICINE:	124
DOH-226.	RURAL HEALTH SPECIAL PROJECTS:	124

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Administration</u>
OFFICE:	<u></u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1078</u>

<u>RECORD</u>		<u>R.D.B.</u>
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-1. ADMINISTRATIVE REFERENCE FILES:

07-039

This series is arranged alphabetically by subject matter and contains information used in the daily administration of the program or office. Information may include, but is not limited to: budget, equipment, inventory, legislation, organization/association, general correspondence and property management information; monthly reports; research materials; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; and other related information. This record series is maintained for reference purposes.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Budget information, general correspondence and organizational files are subject to archival screening prior to disposal.)

(Note: Cull files on a yearly basis to avoid build-up of superseded or obsolete materials.)

(Note: Previous record series number was HEA-1)

DOH-2. CASH RECEIPT BOOKLETS:

07-039

This series is arranged numerically and contains copies of all receipts for money. Information may include: date issued, received from, address, amount, form of payment, purpose, and signature of receiver. This record series is maintained for audit purposes.

RETENTION: Retain full book 1 year in office, then transfer to storage for 3 years. Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-5)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT: Health
DIVISION: Administration
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Darcy McGuigan
RM CUSTOMER #: 1078

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-3. CONTRACTS AND AGREEMENTS FILES:

21-005

This series contains contract and agreements between the Health Department and third parties or interagency agreements. The series is maintained to ensure compliance with terms, to draw up new agreements, for fiscal control, and for audit purposes.

RETENTION: FINANCE OFFICE: Scan paper and retain electronically for 15 years in an Electronic Document Management System (File Director). Destroy 15 years after terminated provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

MICROFILM: Retain existing microfilm for 15 years after terminated, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

ALL OTHERS: Retain reference copies current in office. Destroy terminated.

(Note: Previous record series number was HEA-8)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT: Health
DIVISION: Administration
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Darcy McGuigan
RM CUSTOMER #: 1078

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-4. GRANT FILES:

07-039

This series is arranged alphabetically by grant name and contains information concerning grants awarded to the Health Department. Information may include: grant application, working papers, grant documentation, amounts, instructions concerning the purposes for which the money is spent, and monitoring and accounting records. This record series is used for administering current grants, for reference when requesting new grant funding, and for audit purposes.

RETENTION: FINANCE OFFICE: Retain unsuccessful applications information 2 years in office, then destroy. Retain successful applications and reviews 2 years in office, then transfer to storage for 3 years. Destroy after 5 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

FINANCE OFFICE: Retain Grant Award Books 15 years past the project ending period for the grant or notification by the Federal Government of finalization of the grant, then destroy.

(Note: Document imaging system exists. Convert digital images to microfilm when volume warrants.)

ALL OTHERS: Retain current in office. Destroy superseded or obsolete.

(Note: Previous record series number was HEA-11)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Administration</u>
OFFICE:	<u></u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1078</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-5. LEGAL COUNSEL WORKING PAPERS:

07-039

This series is arranged alphabetically by file name and contains the Department of Health's Legal Counsel Working Papers. Information may include: working papers, correspondence, reports, and project information. This record series is used for reference by the Department of Health's Legal Counsel, Division Director, and/or Finance Officer.

RETENTION: Retain in office until legal matter has been resolved, then microfilm completed files and maintain film for 50 years. Destroy after 50 years.

(Note: Previous record series number was HEA-17)

DOH-6. RECORDS MANAGEMENT FILES:

24-004

This series contains Records Management information. Information may include, but is not limited to: the department's "Records Retention and Destruction Schedule" (RRDS), records transfer receipt forms, project registration forms, and annual inventory listings. This record series is maintained for tracking records sent to Records Management storage, to document the time each record series must be legally maintained, and to document authorization granted to RM for destruction of obsolete records. Records Management maintains the original records destruction authorization forms.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Previous record series number was HEA-30)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT: Health
DIVISION: Administration
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Darcy McGuigan
RM CUSTOMER #: 1078

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-6.1. SURPLUS PROPERTY FILES:

09-012

This series contains the form submitted to the director of South Dakota Property Management for approval to dispose of State-owned personal property and the written notification received from Property Management designating the manner of disposal. Information may include: agency name; date; address or location of property; phone number; name of individual requesting; Property Management Officer's name; description of item(s); quantity; serial number; equipment number; desired method of disposal as authorized; reason for declaring property as surplus; estimate of current value; suggested selling price; minimum acceptable price; statement of content; fixed asset number, if applicable; and any other information deemed necessary. This record series is maintained pursuant to SDCL 5-24A.

RETENTION: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT: Health
DIVISION: Correctional Health
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Darcy McGuigan
RM CUSTOMER #: 0095

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-6.2. CORRECTIONAL HEALTH PATIENT CASE RECORDS: Transferred
to the Department of Corrections, effective 07/01/2024.

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Data Statistics & Vital Records</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1127</u> & <u>1128</u>

<u>RECORD</u> <u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>R.D.B.</u> <u>AUTHORITY</u> <u>NUMBER</u>
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DOH-7. ABORTION REPORTS:

13-006

These reports are required by law to be submitted by physicians and contain information used to verify the data submitted by the abortion facilities and to prepare data reports about abortions performed in South Dakota. Reports include: the Induced Report of Abortion, the Voluntary and Informed Consent Form, and the Parental Notification Form. Information includes those items prescribed by statute. This information is encoded into the computer and is maintained for statistical reporting purposes.

RETENTION: PAPER RECORDS: Retain in office until data has been encoded and verified to be accurate and complete with the abortion facility, then destroy.

DATABASE: Retain information permanently.

(Note: Previous record series number was HEA-64)

DOH-8. ADMINISTRATIVE REFERENCE FILES:

07-039

This series is arranged alphabetically by subject matter and contains information used in the daily administration of the program or office. Information may include, but is not limited to: budget, equipment, inventory, legislation, organization/association, general correspondence and property management information; monthly reports; research materials; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; and other related information. This record series is maintained for reference purposes.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Cull files on a yearly basis to avoid build-up of superseded or obsolete materials.)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Data Statistics & Vital Records</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1127</u> & <u>1128</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-9. ANNUAL REPORT ORIGINAL FILES:

13-006

This series is arranged alphabetically and contains the printing originals of each document or study developed by the Program. Reports may include, but is not limited to: the South Dakota Vital Statistics Report: A State and County Comparison of Leading Health Indicators, which is the annual statistical report summarizing vital statistics in South Dakota; and The Health Behaviors of South Dakotans. This information is maintained for statistical analysis, for reporting purposes, and for monitoring public health programs. This record series is maintained for reuse and for reference purposes when reprinting the document.

RETENTION: Retain permanently in office.

(Note: File copies of the publication with the State Library pursuant to SDCL 14-1A-3 and Administrative Rule 24:30:07:06; and two copies with the State Archivist.)

(Note: One electronic and one paper copy is being maintained.)

(Note: Previous record series number was HEA-66)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
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PROGRAM:	
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RM CUSTOMER #:	<u>1127</u> & <u>1128</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-10. BIRTH CERTIFICATES:

13-006

This database and microfilm series contains the original birth records as submitted electronically by hospitals. Information may include: state file number, name, date of birth, parents' names, place of birth, time of birth, and statistical information used to generate a statistical report. Birth records submitted 1995 and after are transmitted electronically and are stored in Electronic Vital Record and Screening System (EVRSS). Birth records submitted prior to 1995 are on microfilm; but have been encoded into EVRSS. Birth records of "home births" and hospitals not using EVRSS are submitted as a paper document. This record series is maintained for census information, for statistical reporting, and for making certified copies for the public.

RETENTION: BIRTH RECORDS 1995 AND AFTER: Retain database permanently.

BIRTH RECORDS PRIOR TO 1995: Retain in office on microfilm permanently.

PAPER RECORDS: Transfer to the Yearly Series Records to be retained 1 year in office, then microfilmed and maintain film permanently.

(Note: Transfer paper to State Archives after film has been inspected and verified to meet quality standards.

(Note: Previous record series number was HEA-68)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
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PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1127</u> & <u>1128</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-11. BIRTH INDEX, CHRONOLOGICAL:

07-039

This index report contains names and state file numbers listed chronologically by decade for all persons born in South Dakota from the time records were first kept through 1983. This report has been generated only once and microfilmed. This record series is used for occasional reference purposes.

RETENTION: Retain microfilm permanently.

(Note: Previous record series number was HEA-69)

DOH-12. BIRTH RECORDS, GENEALOGICAL:

07-039

This file is arranged numerically by state file number and contains copies of birth records received from persons born out-of-state. The purpose was to make genealogical research easier for family members or genealogists doing family tree research. This practice has been discontinued.

RETENTION: Retain microfilmed records in office for 75 years, then destroy.

(Note: Microfilm is subject to archival screening prior to disposal.)

(Note: Previous record series number was HEA-70)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Data Statistics & Vital Records</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1127</u> & <u>1128</u>

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
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DOH-14. DEATH RECORDS:

07-039

This database and microfilm series is arranged numerically by state file number and contains the original death records as submitted electronically or via paper by funeral directors, physicians, and coroners. Information may include: state file number, deceased's name, date of birth, place of birth, date of death, place of death, and cause of death. Death records submitted after 2003 are divided into two parts: the Fact of Death and the Medical Certificate. Some of the Fact of Death and Medical Certificates are submitted electronically and stored in EVRSS. Some funeral directors, coroners, and physicians submit the Fact of Death and Medical Certificates on paper. Death records submitted prior to 2004 are on microfilm, but will be encoded into EVRSS. This record series is maintained for census information, for statistical reporting, and for making certified copies for the public.

RETENTION: DEATH RECORDS AFTER 2003: Retain database permanently.

PAPER RECORDS: Retain 1 year in office, then microfilm and maintain film permanently.

(Note: Transfer paper to State Archives after film has been inspected and verified to meet quality standards.)

(Note: Previous record series number was HEA-73)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Data Statistics & Vital Records</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1127</u> & <u>1128</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-15. DEATH REPORT STATISTICS:

07-039

This on-line computer database contains death report statistics in South Dakota. Printed reports are generated only upon requests. The information is broken down by cause of death and personal data. This record series is used to study trends and make comparisons.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Previous record series number was HEA-74)

DOH-16. DISINTERMENT/REINTERMENT APPLICATIONS:

13-006

This paper and database series is arranged chronologically and contains the letter requesting a permit to exhume a body for purposes of moving it to another burial site. The files are used for reference in tracing the location of new grave sites.

RETENTION: PAPER: Retain 1 year in office, then microfilm and maintain film permanently.

DATABASE: Retain information permanently.

(Note: In 2004, funeral directors could make application requests by using EVRSS and most applications are submitted electronically. In 2009, a change in state law requires signature of next of kin which must be retained.)

(Note: Previous record series number was HEA-75)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Data Statistics & Vital Records</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1127</u> & <u>1128</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-17. DIVORCE RECORDS:

07-039

This paper, microfilm, and database series is arranged numerically by state file number and contains transcripts of divorce records as submitted by county Clerk of Courts on a monthly basis. Information may include: state file number, names (married and maiden), marriage date, place of marriage, divorce date, transcripts of divorce decree, and any other extraneous material related to the divorce. The records are encoded into EVRSS. This record series is maintained for census information, for statistical reporting, for research, and for making certified copies for the public.

RETENTION: PAPER: Retain 1 year in office, then microfilm and maintain film permanently.

DATABASE: Retain information permanently.

(Note: Transfer paper to State Archives after film has been inspected and verified to meet quality standards.)

(Note: Previous record series number was HEA-76)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Data Statistics & Vital Records</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1127 & 1128</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

**DOH-19. ELECTRONIC VITAL RECORD AND SCREENING SYSTEM
(EVRSS) DATABASE:**

07-039

This is an electronic database of birth, death, marriage, divorce, fetal death records, affidavits, disinternment permits, and vital records customer correspondence and transactions performed through Vitalchek. Information may include: birth, death, marriage, divorce, and fetal death, affidavits, and disinternment information. Customer correspondence may be received via mail, over the internet, by fax, over the telephone, and in person; and may include: customer name, telephone number, identification presented, service requested, charges incurred, and payments remitted. This series is used for statistical reporting, research, making certified copies upon request, accounting and customer tracking.

RETENTION: DATABASE: Retain information permanently.

PAPER CORRESPONDENCE: Retain 3 months after entered into EVRSS, then destroy.

(Note: All correspondence information is entered into EVRSS.)

(Note: Previous record series number was HEA-77.1)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Data Statistics & Vital Records</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1127</u> & <u>1128</u>

RECORD SERIES NO.	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	R.D.B. AUTHORITY NUMBER
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DOH-20. FETAL DEATH RECORDS:

13-006

This paper, microfilm, and database series is arranged numerically and contains the records of fetal deaths recorded in South Dakota. Information may include: state file number, name, mother's name, date, location, and probable cause of the death. Fetal death records submitted 2005 and after are transmitted electronically into EVRSS. Fetal death records submitted prior to 2005 are on microfilm, but will be encoded into EVRSS. The records are used for statistical reporting, for research, and for making certified copies upon request.

RETENTION: PAPER: Retain 1 year in office, then microfilm and maintain film in office permanently.

DATABASE: Retain information permanently.

(Note: Transfer paper to State Archives after film has been inspected and verified to meet quality standards.)

(Note: Previous record series number was HEA-78)

DOH-21. FUNERAL DIRECTORS' REPORTS:

07-039

This monthly series contains two alphabetically arranged computer reports. One is generated from monthly funeral director reports of all dead bodies or fetuses handled by the funeral directors and the other one is generated from EVRSS of all deaths. Information may include: county, name of the deceased, funeral home license number, undertaker's name, and the date of death. This record series is maintained to insure that death certificates have been issued for all persons who die in South Dakota.

RETENTION: Retain current reports in office for 1 year. Destroy superseded or obsolete.

(Note: Previous record series number was HEA-79)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Data Statistics & Vital Records</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1127</u> & <u>1128</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-22. HOSPITAL AND NURSING HOME REPORTS:

13-006

The American Hospital Association Annual Survey of Hospitals and the Annual Nursing Facility and Assisted Living Center Survey is arranged chronologically and contains hospital and nursing home patient origin and facility specific statistics. Information may include: facility names and type of facility in which the patient resides. This record series is maintained for reference to list patient statistics and origins, and to list the types of facilities which are being utilized.

RETENTION: PAPER RECORDS: Retain in office until data has been encoded and verified to be accurate and complete, then destroy.

DATABASE: Retain information permanently.

(Note: Previous record series number was HEA-80)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Data Statistics & Vital Records</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1127</u> & <u>1128</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-24. MARRIAGE RECORDS:

07-039

This database and microfilm series is arranged numerically by state file number and contains the original marriage records as submitted by County Register of Deeds. Information may include: state file number, bride's name, groom's name, marriage date, place of marriage, and other statistical items. Marriage records submitted after 2002 are transmitted electronically into EVRSS. Records prior to 2003 are on microfilm, but will be encoded into EVRSS. This record series is maintained for statistical reporting, for research, and for making certified copies for the public.

RETENTION: MARRIAGE RECORDS AFTER 2002: Retain database permanently.

MARRIAGE RECORDS PRIOR TO 2003: Retain permanently in office on microfilm.

PAPER: Retain 1 year in office, then microfilm and maintain film permanently.

(Note: Transfer paper to State Archives after film has been inspected and verified to meet quality standards.)

(Note: Previous record series number was HEA-85)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Data Statistics & Vital Records</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1127</u> & <u>1128</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-25. MOTOR VEHICLE ACCIDENT REPORTS:

07-039

This form series contains reports received from the Department of Transportation (DOT), Fatal Accident Reporting System (FARS) program concerning traffic deaths. Vital Statistics personnel complete the reports once the official death record has been filed. Information which is added to the form includes: state file number, time and date of death, and cause of death. The original accident report form is returned to DOT after completion. This record series is maintained for statistical purposes and for computer encoding verification. The originals are returned to DOT after the information from this program has been added.

RETENTION: Retain 1 month in office, then destroy.

(Note: Previous record series number was HEA-86)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Data Statistics & Vital Records</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1127</u> & <u>1128</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-27. NONRESIDENT TRANSCRIPTS:

13-006

This paper and continuously updated on-line permanent database series is arranged alphabetically by county and numerically by state file number and contains nonresident transcripts of births and deaths of South Dakota residents. Agreements between states exist to restrict the use of these records to statistical reporting purposes only.

RETENTION: Retain database permanently.

PAPER: Retain in office until encoding has been verified to be accurate and complete, then destroy.

(Note: Previous record series number was HEA-89)

DOH-29. TRANSMITTAL SHEETS:

13-006

This series is arranged alphabetically and chronologically and contains transmittal sheets received from the county officials transferring records. Clerks of Courts submit copies of divorce transcripts. Transmittals sheets are maintained to document the transfer of records to the Department of Health.

RETENTION: Retain 1 year in office, then destroy.

(Note: Previous record series number was HEA-91)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Data Statistics & Vital Records</u>
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RM CUSTOMER #:	<u>1127</u> & <u>1128</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-31. VITAL STATISTICS GUIDELINES, FEDERAL:

07-039

This series contains the federal handbook prescribing the manner in which vital records must be prepared. The guidelines are used to inform doctors and county officials on the proper techniques for successfully completing the required vital records. The guidelines are used for reference when drawing up the new "Instruction Manual."

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Previous record series number was HEA-92)

DOH-32. YEARLY SERIES RECORDS:

07-039

This series is a combination of series now handled together. The series include: affidavits of vital records corrections, confidential records, home births, paper births from hospitals not using EVRSS, and correction books. All changes that are made to records are placed in an envelope series and are arranged by event by state file number. Information may include: original vital records, legitimation reports, paternity affidavits, affidavits of correction, and court orders. This record series is used to document all changes to vital records. Most changes to vital records can be done electronically; however, a few changes are still made on paper.

RETENTION: Retain 1 year in office, then microfilm and maintain film permanently.

(Note: Transfer paper to State Archives after film has been inspected and verified to meet quality standards.)

(Note: Previous record series number was HEA-93.1)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Laboratory Services</u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1129</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-33. ADMINISTRATIVE REFERENCE FILES:

07-039

This series is arranged alphabetically by subject matter and contains information used in the daily administration of the program or office. Information may include, but is not limited to: budget, equipment, inventory, legislation, organization/association, general correspondence and property management information; monthly reports; research materials; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; and other related information. This record series is maintained for reference purposes.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Cull files on a yearly basis to avoid build-up of superseded or obsolete materials.)

DOH-34. AIR QUALITY WORKSHEETS:

07-039

This computer series is arranged chronologically and contains the results of tests conducted on air samples submitted for analysis. This record series is maintained for federal reporting purposes.

RETENTION: Retain 2 years on database, then transfer data to back-up tape for 3 years. Destroy after 5 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-94)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Laboratory Services</u>
PROGRAM:	<u></u>
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RM CUSTOMER #:	<u>1129</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-35. AIR SAMPLE DATA ENVELOPES:

07-039

This envelope series is arranged chronologically and contains identification information on the air sample filters enclosed in the envelope. Information may include: date, sample source or location, submitter's name, and the air sample filter. This record series is maintained for documentation and for reference purposes.

RETENTION: Retain 1 year in office, then transfer to storage for 4 years. Destroy after 5 years.

(Note: Previous record series number was HEA-95)

DOH-36. AUTOCLAVE CHARTS:

07-039

This series is arranged chronologically and contains the circular disc chart produced on an autoclave. The cards illustrate temperatures of the autoclave for a specific time period. Printed on the card is the autoclave number and the date of use. This record series is maintained to record quality control standards in the sterilization of lab equipment.

RETENTION: Retain 5 years in office, then destroy.

(Note: Previous record series number was HEA-96)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
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RM CUSTOMER #:	<u>1129</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-37. BLOOD ALCOHOL CONTENT (BAC) AND DRUG ANALYSIS WORKSHEETS:

07-039

This series is arranged numerically by accession number and contains daily worksheets used when testing blood for alcohol and drug content. Information may include: sample accession number, subject's name, date, submitting agency, and test results. This record series is maintained to document blood alcohol and drug levels and to report results to law enforcement officials for use during litigation.

RETENTION: Retain 2 years in office, then transfer to storage for 3 years. Destroy after 5 years.

(Note: Previous record series number was HEA-97)

DOH-38. BLOOD ALCOHOL REPORT SLIPS:

07-039

This computer series contains blood alcohol test results. The information comes from the "Blood Alcohol Content (BAC) and Drug Analysis Worksheets". Information may include: name, type of sample, date submitted, test results, and name of person who performed the test. This record series is maintained to document the results of blood alcohol tests and for use during litigation.

RETENTION: Retain 2 years on database, then transfer to back-up tape for 3 years. Destroy after 5 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-98)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Laboratory Services</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1129</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-39. CONTAINER REQUESTS:

07-039

This series contains the request for containers used to send samples and specimens to the lab for testing purposes. The requests are maintained for addressing the mailing labels.

RETENTION: Retain 1 month in office, then destroy.

(Note: Previous record series number was HEA-101)

DOH-40. ECOLOGICAL BACTERIOLOGY LOGS:

07-039

This computer series is arranged chronologically and contains the results of bacteriological tests performed on water samples. Information may include: sample number, field location, submitter's name and address, test name, date tested, and test results. This information is maintained to document quality control measures taken during testing and to formulate a weekly, monthly, and yearly report to highlight laboratory activities.

RETENTION: Retain 2 years on database, then transfer to back-up tape for 3 years. Destroy after 5 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-102)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Laboratory Services</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1129</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-41. EQUIPMENT FILES:

07-039

This series is arranged alphabetically and contains information on all equipment owned by the lab. Information may include, but is not limited to: equipment identification, purchase data, vendor name, original purchase price, contract copy, operation manuals, vendor sales literature, warranty information, suggested maintenance schedule, maintenance agreements (if any), and maintenance records. This record series is maintained as a quick reference concerning the features of each piece of equipment, for accounting purposes, and to determine when it is more economical to purchase new equipment rather than repair old equipment.

RETENTION: Retain in office for life of equipment/instrument. Destroy when equipment/instrument is surplused or replaced.

(Note: Previous record series number was HEA-103)

DOH-42. ETHYL ALCOHOL LOG:

07-039

This log is arranged chronologically and documents the use of ethyl alcohol in the lab. Information may include: beginning inventory quantity, date, amount used, name, and ending inventory balance. This information is maintained to comply with federal regulations concerned with monitoring and controlling the use of ethyl alcohol.

RETENTION: Retain full book 2 years in office, the transfer to storage for 2 years. Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-104)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Laboratory Services</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1129</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-43. FOOD RELATED ILLNESSES OUTBREAK FILE:

07-039

This series is arranged alphabetically and contains information gathered when testing food samples to determine causes for food related illness outbreaks. Information may include: name of individual submitting sample, date, where the food was purchased, tests administered, test results, and copies of notices sent to the health inspectors for further action. This information is maintained to document that testing has occurred and if necessary to initiate follow-up inspections of the premises.

RETENTION: Retain 5 years in office, then destroy.

(Note: Previous record series number was HEA-105)

DOH-44. LABORATORY TEST RESULTS (NEGATIVE):

07-039

This computer series is arranged alphabetically by test name and contains the negative results for all tests performed in the laboratory. Information may include, but is not limited to: lab number, name of patient, doctor's name, date, remarks, and results. Types of test may include: rabies, rubella, other serology, general bacterial, and tuberculosis tests. This record series is maintained for reference and statistical reporting purposes.

RETENTION: Retain database for 2 years, then transfer to back-up tape for 3 years. Destroy after 5 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-108)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Laboratory Services</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1129</u>

<u>RECORD</u>		<u>R.D.B.</u>
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-45. LABORATORY TEST RESULTS (POSITIVE):

07-039

This computer series is arranged alphabetically by test name and contains the positive results for all tests performed in the laboratory. Information may include, but is not limited to: lab number, name of patient, doctor's name, date, remarks, and results. Types of test may include: rabies, rubella, other serology, general bacterial, and tuberculosis tests. This record series is maintained for reference and statistical reporting purposes.

RETENTION: Retain database 3 years, then transfer to back-up tape for 3 years. Destroy after 6 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-109)

DOH-46. MEDICAL RECORDS SYSTEM:

07-039

This computer series is arranged alphabetically by name of person or facility and contains an itemized list of all test results performed for each person or facility. The system is used for medical, water, and blood tests. Information may include: name, date of birth (where applicable), type of test, date sample was submitted, and test results. This record series is maintained as a quick reference to determine which tests have been run for the respective person or facility.

RETENTION: Retain 1 year on the computer system. Printout on Computer Output Microfiche (COM) and maintain COM in office for 100 years. Destroy after 100 years.

(Note: Previous record series number was HEA-110)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Laboratory Services</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1129</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-47. PACKING SLIPS:

07-039

This series is arranged chronologically and contains packing slips received for supplies used throughout the laboratory. Information may include: date sent, name and quantity of items sent, lot number, authorized signature, date received, and shipping information. The slips are retained to answer questions concerning lot numbers of cultures received.

RETENTION: Retain 1 year in office, then destroy.

(Note: Previous record series number was HEA-111)

DOH-48. QUALITY ASSURANCE FILES:

07-039

This series consists of the laboratory quality assurance plan and the internal audit system used by the microbiologists/chemists to monitor the quality of test results. Information may include, but is not limited to: the quality parameters identified in the laboratory quality assurance plan. This record series is maintained to identify, correct, and improve laboratory performance and to meet the required quality assurance standard.

RETENTION: MEDICAL SECTION: Retain in office for 2 years, then destroy.

ENVIRONMENTAL AND FORENSIC SECTION: Retain in office for 2 years, then transfer to storage for 3 years. Destroy after 5 years.

(Note: Previous record series number was HEA-113)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Laboratory Services</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1129</u>

<u>RECORD</u>		<u>R.D.B.</u>
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-49. QUALITY CONTROL CHARTS:

07-039

These charts are arranged alphabetically by laboratory name and contain random quality control checks of instrument performance and glassware preparation. Information may include, but is not limited to: date, test or measure, quality standard, instrument identification, and glassware sterilization record. This record series is maintained for workload accounting and annual statistical reporting purposes.

RETENTION: MEDICAL SECTION: Retain 2 years in office, then destroy.

ENVIRONMENTAL AND FORENSICS SECTION: Retain 2 years in office, then transfer to storage for 3 years. Destroy after 5 years.

(Note: Previous record series number was HEA-114)

DOH-50. QUALITY CONTROL DATA SHEETS:

07-039

This series consists of quality control data sheets required when testing is performed. Information may include, but is not limited to: test/media, agent name, date performed, lot number, initials of technician, date of expiration, and individual control features for the test. Some data sheets may include: bacteriology media, serology, viral culture, and viral serology. This record series is maintained to document that proper testing and lab procedures were followed.

RETENTION: MEDICAL SECTION: Retain 2 years in office, then destroy.

ENVIRONMENTAL AND FORENSICS SECTION: Retain 2 years in office, then transfer to storage for 3 years. Destroy after 5 years.

(Note: Previous record series number was HEA-115)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Laboratory Services</u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1129</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-51. QUALITY CONTROL LOGS:

07-039

This daily log series documents results of quality control parameters of instruments in the laboratory. Information may include: date, type of testing measurement, quality standards, daily test results, initials of technician, control lot number, expiration date, and comments. This record series is maintained to document that proper testing was followed.

RETENTION: MEDICAL SECTION: Retain 2 years in office, then destroy.

ENVIRONMENTAL AND FORENSICS SECTION: Retain 2 years in office, then transfer to storage for 3 years. Destroy after 5 years.

(Note: Previous record series number was HEA-116)

DOH-52. RABIES TEST RESULTS:

07-039

This series is used to summarize the results of rabies tests performed in the health lab. Information may include: animal type, county of occurrence, physician or clinic name, and person(s) exposed to the animal. This record series is maintained to document results of rabies test.

RETENTION: Retain database for 2 years, then transfer to back-up tape for 3 years. Destroy after 5 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-117)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Laboratory Services</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1129</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-53. RADIOCHEMISTRY DATA FILES:

07-039

This database series is arranged chronologically and contains copies of radiochemistry reports sent to the Environmental Protection Agency (EPA) regarding test results of radioactive alpha and beta particles in water samples. Information may include: date, alpha and beta readings, and sample identification. This record series is maintained for reporting to the EPA.

RETENTION: Retain database 5 years, then delete.

(Note: Previous record series number was HEA-118)

DOH-54. RESULTS PRINTOUTS:

07-039

This series is arranged chronologically and contains printouts from instruments that perform analyses on water, wastewater, soil, blood, and urine. Information may include: date of analysis, readings from instrument, initials/name of analyst, and sample identification. This record series is maintained for federal reporting purposes.

RETENTION: Retain in office for 2 years, then transfer to storage for 3 years. Destroy after 5 years.

(Note: Previous record series number was HEA-119)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Laboratory Services</u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1129</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-55. SAMPLES AND CONTAINERS REQUEST LOG:

07-039

This computer log series is arranged chronologically and contains an itemized list of all samples and containers sent to laboratories throughout the state. Information may include: type and quantity sent, date, and name and address of requesting party. This record series is maintained for inventory control.

RETENTION: MEDICAL SECTION: Retain logs on database for 2 years, then delete.

ENVIRONMENTAL AND FORENSIC SECTION: Retain logs on database for 1 year, then delete.

(Note: Previous record series number was HEA-120)

DOH-56. SPECIMEN KIT LOGS:

07-039

This computer series is arranged chronologically and documents the number of specimen kits sent out and the date they were returned for testing. Information may include: type of specimen kit requested, date sent, submitter's name, and date received. The log is used to control the procurement, stocking, and mailing of specimen kits.

RETENTION: Retain data 1 year, then delete.

(Note: Previous record series number was HEA-121)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Laboratory Services</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1129</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-57. SPECIMEN LOGS, (VIRAL AND BACTERIAL):

07-039

This series is arranged chronologically and documents the receipt of all viral and bacterial specimens, which are sent for testing to the National Center for Disease Control in Atlanta, Georgia. Information may include: type of specimen, submitter's identification, patient's name, date received, date sent, date test results are received, and test results. This record series is maintained for reference to answer questions regarding specimens which have been sent away for testing.

RETENTION: Retain full sheets 2 years in office, then destroy.

(Note: Previous record series number was HEA-122)

DOH-58. SUBMITTER FORMS:

07-039

This series is arranged numerically by laboratory section and consists of the laboratory accession forms prepared by the submitter. Information may include: the test(s) requested, patient/source identifier, patient/source address, patient birth date, specimen source, collection date(s), patient sex, patient race, and submitter's name and address. These forms are maintained to provide verification of specimen receipt and to meet certification requirements.

RETENTION: MEDICAL SECTION FORMS: Retain 2 years in office, then destroy.

ENVIRONMENTAL AND FORENSICS SECTION FORMS: Retain 2 years in office, then transfer to storage for 3 years. Destroy after 5 years.

(Note: Previous record series number was HEA-123)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Laboratory Services</u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1129</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-59. VENDOR LOGS AND CARD FILES:

07-039

This three-ring binder and rolodex card file series contains vendor information. Information may include: name, address, telephone number, contact person, vendor identification number, and major items purchased from the vendor. This record series is maintained for quick reference to determine the names and address of each vendor.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Previous record series number was HEA-124)

DOH-60. WASTEWATER FILES:

07-039

This computer series contains wastewater testing information. Information may include: name of town, sewer plant location, date, service or test provided, and fees charged. This record series is maintained for billing communities for services provided and for audit purposes.

RETENTION: Retain on database for 2 years, then transfer to back-up tape for 3 years. Destroy after 5 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-125)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Laboratory Services</u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1129</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-61. WATER ANALYSIS LOGS:

07-039

This log contains a record of all scheduled water analysis with the Health Laboratory. Information may include: schedule number, water system, and date received. This record series is maintained to verify accuracy in sending out water analysis kits.

RETENTION: Retain 1 year in office, then destroy.

(Note: Previous record series number was HEA-126)

DOH-62. WATER DATA REPORTS:

07-039

This computer series contains results of water samples received from private persons, public health division, Environment and Natural Resources' water quality monitoring stations, and wastewater treatment plants. Information may include: date, sample source, test run, and results. This record series is maintained to document services performed by laboratory personnel and as a quick reference to test results.

RETENTION: Retain on database for 2 years, then transfer to back-up tape for 3 years. Destroy after 5 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-127)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Laboratory Services</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1129</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-63. WATER TEST WORKSHEETS, DAILY:

07-039

This computer series is arranged chronologically and contains a daily report of water tests run in the laboratory. Each worksheet includes: iron content; and levels of ammonia, alkaline, calcium chloride, and fluoride. This record series is maintained for federal reporting purposes.

RETENTION: Retain data in database for 2 years, then transfer to back-up tape for 3 years. Destroy after 5 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-128)

DOH-64. WORKSHEETS:

07-039

This series is arranged chronologically and contains a daily computer generated worksheet of tests to be performed in each laboratory and documents the test results. Information may include: date, type of test, accession number, submitter's name, patient's name, test, test code, and test results. This record series is maintained to document tests ran in each laboratory and for encoding results into the computer system.

RETENTION: Retain 2 years in office, then transfer to storage for 3 years. Destroy after 5 years.

(Note: Previous record series number was HEA-129)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Management Services</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1079</u>

<u>RECORD</u>		<u>R.D.B.</u>
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-65. A-87 INDIRECT COST PROPOSAL:

07-039

This series contains the working papers used to develop indirect cost rates. Information may include: methodology of fund description, salary and wage funding source breakdowns, and other background information used to support cost allocations. This record series is used to prepare budget requests, grant applications, and other administrative plans.

RETENTION: Retain 2 years in office, then transfer to storage for 2 years. Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-36)

DOH-66. ADMINISTRATIVE REFERENCE FILES:

07-039

This series is arranged alphabetically by subject matter and contains information used in the daily administration of the program or office. Information may include, but is not limited to: budget, equipment, inventory, legislation, organization/association, general correspondence and property management information; monthly reports; research materials; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; and other related information. This record series is maintained for reference purposes.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Monthly Progress Reports, Program Files, and Published Document Files are subject to archival screening prior to disposal.)

(Note: Cull files on a yearly basis to avoid build-up of superseded or obsolete materials.)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Management Services</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1079</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-67. BAD DEBTS:

07-039

This series is arranged alphabetically and contains records of past due debts owed to the Health Department. Bad debt information may include: a copy of the Exhibit D from field offices incurring the debt, a copy of transfer record used to forward information to the Office of Risk Management, and bad checks. A copy of this transfer record is made for the Finance Office records until debt is satisfied.

RETENTION: Retain in office until notification that debt is satisfied, then destroy.

(Note: Previous record series number was HEA-38)

DOH-68. BANK STATEMENTS:

07-039

This series is arranged chronologically and contains bank account records of funds withheld from State Treasury deposit to make refunds. Information may include: statement date, canceled checks, deposit record, and beginning and ending bank balances. This record series is used to reconcile bank statements with amounts withheld from the State Treasury deposits and for audit purposes.

RETENTION: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-39)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Management Services</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1079</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-69. FEE ACCOUNTING LEDGERS:

07-039

This series is arranged chronologically and contains the monthly summary of fee accounting transactions generated from the issuance of vital records and from laboratory fees. Information may include: dates, beginning and ending balances, deposits, and refunds. The information may also be found on the "Transmittal of Fees Printouts." This record series is used for audit and reconciliation purposes.

RETENTION: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-47)

DOH-70. FEE ACCOUNTING RECEIPTS:

07-039

This series is arranged chronologically and contains fee accounting receipts generated from the issuance of vital records and from laboratory fees. Information may include: microcomputer generated receipts containing the date received, receipt number, name of person money was received from, receiver, amount, fund credited, and working papers used to balance the accounts. This record series is used for audit purposes to insure that all funds have been correctly credited. The information is summarized in the Fee Accounting Ledgers.

RETENTION: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-48)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Administration</u>
OFFICE:	<u>Management Services</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1079</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-71. HIPAA DOCUMENTATION:

07-039

This paper and database series is arranged alphabetically by name and contains HIPAA documentation that will be kept in one master file. Information may include: HIPAA request forms, HIPAA response forms, HIPAA complaint forms, HIPAA authorization forms and compliance review forms, and other HIPAA documentation. This record series is required to be maintained six years by the HIPAA regulation for purpose of a potential compliance review by the United States Secretary of Health and Human Services.

RETENTION: Retain 6 years, then destroy.

(Note: Previous record series number was HEA-333)

DOH-72. TRANSMITTAL OF FEES PRINTOUTS:

07-039

This computer printout series is arranged chronologically and contains the daily log of money received by the department and is used to reconcile the "Fee Accounting Ledger."

RETENTION: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-60)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1142</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-107. ADMINISTRATIVE APPEALS, CIVIL RIGHTS
COMPLAINTS, FAIR HEARING REQUESTS,
MISUSE/GENERAL COMPLAINTS:

10-007

This paper or electronic series is arranged chronologically and contains information received from retailers, local agencies or persons with complaints against the WIC Program regarding WIC participation. Information may include: correspondence, letter or form complaints, investigation comments, misuse information, recommendations, and actions taken. This record series is maintained for reference purposes and to initiate corrective actions as required in each case

RETENTION: Retain 4 years in office, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-235)

DOH-73. ADMINISTRATIVE REFERENCE FILES: Deleted from Schedule,
07/16/2020.

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1142</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-108. ADMINISTRATIVE REFERENCE FILES:

07-039

This series is arranged alphabetically by subject matter and contains information used in the daily administration of the program or office. Information may include, but is not limited to: budget, equipment, inventory, legislation, organization/association, general correspondence and property management information; monthly reports; research materials; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; and other related information. This record series is maintained for reference purposes.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Cull files on a yearly basis to avoid build-up of superseded or obsolete materials.)

DOH-74. COMMUNITY HEALTH SERVICES NUMBERED MEMORANDUMS:

08-012

This series is arranged chronologically and contains the Community Health Services Number Memorandums which are sent out electronically and stored on the "M" drive. Information may include, but is not limited to: policies and procedures, training sessions, schedules of events, and miscellaneous topics of interest to nurses. This information is maintained to document the memorandums and directives published by the program.

RETENTION: Retain electronically for 3 years in office, then delete.

(Note: Previous record series number was HEA-253)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1142</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-109. CONTRACTS, WIC RETAILERS:

20-002

This series is arranged numerically and contains the contracts between the program and retailers that participate in the WIC program. Information may include: consultant name, contact person, identification number, telephone number, address, authorized signatures, terms and conditions of the contract, and effective dates. This record series is maintained for reference and audit purposes.

RETENTION: Retain scanned copies of WIC Retailer signed Agreements in Management Information System (MIS). Destroy 6 years after terminated provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

Retain Monitor Records and Correspondence 4 years in office, then destroy.

(NOTE: Purge monitor records and correspondence annually by July of each year.)

(Note: Previous record series number was HEA-236)

DOH-75. DESK FILES, ADMINISTRATIVE ASSISTANT:

07-039

This series is arranged alphabetically by topic and contains reference material used by the administrative assistant in the daily operation of the program. Information may include, but is not limited to: forms, maps, payroll information, FTE reports, budget and expenditure analysis, purchasing information, copies of program contracts, and other miscellaneous working papers. This record series is maintained for reference when making decisions on current issues and needs, for budget preparation, and for administrative purpose.

RETENTION: Retain 2 years in office, then destroy.

(Note: Previous record series number was HEA-254)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1142</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-110. DUAL PARTICIPATION REPORTS:

20-002

This electronic series is arranged chronologically and contains investigation data concerning possible dual WIC program participation. Information may include, but is not limited to: correspondence; quarterly reports from computer system and ITO's (Indian Tribal Offices); investigation comments; final recommendations; and corrective actions taken. This record series is used for checking dual participation between Local WIC Agencies and between other State WIC Programs.

RETENTION: Retain 4 years in office, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-237)

DOH-111. FAMILY PLANNING ANNUAL REPORT:

07-039

This annual report series is arranged chronologically and contains combined totals of demographic data submitted for family planning services provided. The family planning program funding is contingent upon these reports. Information includes patient information regarding age, sex, race, ethnicity, income, and contraceptive method. This record series is maintained for audit and grant reporting purposes.

RETENTION: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years provided all litigation, claim, and audit findings involving the records have been resolved and final action has been taken.

(Note: Subject to archival screening prior to disposal.)

(Note: Previous record series number was HEA-239)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1142</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-77. FTE REPORT:

07-039

This monthly computer directory is arranged numerically by position number and contains lists of nurses in the state. Information may include: names and position numbers. This record series is maintained for quick reference to names and addresses of nurses and to prevent duplication of assigned position numbers.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Previous record series number was HEA-256)

DOH-113. LOCAL WIC AGENCY FILES:

20-002

This paper or electronic series is arranged alphabetically by county and provides a listing of WIC Program activities in each county. Information may include: civil rights training; benefit issuance, management evaluations; monthly participation, nutrition education and marketing plans; possible over issuance reports; program misuse/general complaints; receipt of eWIC card, non-contract formula participant reports; and any other related documentation. This record series is maintained for reference and statistical reporting purposes.

RETENTION: Retain 4 years in office, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-243)

DOH-114. LOST OR STOLEN CHECK FOLLOW-UP REPORTS: Deleted from Schedule, 07/16/2020.

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1142</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-116. MONTHLY EXPENDITURE REPORTS, WIC LOCAL AGENCIES:

07-039

This paper or electronic series is arranged chronologically and contains information completed by the WIC Local Agency listing county contract clerical expenditures incurred during the month and request for reimbursement from the State Office. Information may include: county name, contract amount, contract number, expenditures, total amount, and authorized signatures. This record series is maintained for audit purposes.

RETENTION: Retain 4 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-246)

DOH-117. NBS LABORATORY REPORTS, NORMAL:

07-039

This series is arranged by date of birth, then alphabetically and contains normal NBS laboratory reports. Newborn screening tests are performed to detect conditions that threaten the life and long-term health of infants. Newborn screening tests are required under SDCL 34-24-16 thru 25 and ARSD 44:04:09:08.

RETENTION: Retain paper records of metabolic screening test results (normal results) 1 year in office, then destroy.

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1142</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-118. NEWBORN SCREENING PROGRAM, FOLLOW-UP:

07-039

This series is arranged by date of birth, then alphabetically and contains follow-up documentation for abnormal NBS screening test results; names of infants that are never tested (includes refusals); unacceptable specimens; specimens that are affected by transfusion; and specimens collected less than 24 hours of age that are reported to the program. Information may include, but is not limited to: laboratory notification report of abnormal, laboratory reports, follow-up documentation, and correspondence. Newborn screening tests are required under SDCL 34-24-16 thru 25 and ARSD 44:04:09:08.

RETENTION: PAPER: Retain 5 years in office, then scan and destroy paper upon verification of scanned images.

ELECTRONIC IMAGE: Convert to microfilm as volume warrants. The microfilm and images will be maintained until the age of 28, then destroy.

(Note: The electronic images will be maintained by the Central Office.)

DOH-119. NEWBORN SCREENING PROGRAM REPORTS:

07-039

This series is arranged by type, then chronologically and contains the newborn screening program reports. Follow-up reports may include, but are not limited to: "Never Tested", "Abnormal", "Presumptive Positive", "Lab Alert", "Diagnosed Disorders", "NBS Stats", "MetCaseStatus", and "Screening Stats". This record series is used for program monitoring, follow-up investigating, and reporting program statistics. Newborn screening tests are required under SDCL 34-24-16 thru 25 and ARSD 44:04:09:08. Newborn Screening tests are performed to detect conditions that threaten the life and long-term health of infants.

RETENTION: Retain reports 1 year in office, then destroy.

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1142</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-120. PATIENT CASE RECORDS-CSHS:

07-039

This microfilm and electronic series is arranged alphabetically by last name and year of birth and contains all related documentation concerning services provided for Children with Special Health Care Needs. Information may include: patient name, birth date, address, name of parents or guardians, case number, child's special health need(s), diagnosis, clinic records, physician(s), insurance policy name and number, date of services, date of payment, and amount paid. This series provides documentation of all services provided to clients and is used in billing all costs.

RETENTION: Retain in the Central Office 10 years past the age of majority or 10 years past the last date of service, whichever longer, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Document imaging system exists.)

(Note: Microfilm and scan as volume warrants.)

(Note: Previous record series number was HEA-247)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1142</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-121. SITE ASSESSMENTS/SELF ASSESSMENTS/CIVIL RIGHTS TRAINING:

10-007

This series contains copies of program site assessments reviews, self-assessments, and civil rights reviews. Information may include: date of review, names of program reviewers, site name, review findings, recommendations to improve deficiencies, and response. The review is conducted to ensure quality service, and to assure compliance with federal regulations and program policy.

RETENTION: Retain 4 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-248-1)

DOH-122. SPECIAL PROCEDURES APPROVAL LOGS-FP:

07-039

This series is arranged chronologically and contains the list of patients who receive approval for family planning assistance for special procedures. Procedures may include, but are not limited to: tubal ligations, vasectomies, IUD insertions, and IUD removals. The log is used for budgetary accounting purposes.

RETENTION: Retain 2 years in office, then destroy.

(Note: Previous record series number was HEA-249)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1142</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-123. USDA REGIONAL REPORTS:

07-039

This paper or electronic series is arranged chronologically and contains reports sent to and received from the United States Department of Agriculture's (USDA) Food Nutrition Service Monthly Federal Financial Report from Denver, Colorado. Information may include: month, number of persons on WIC programs, expenditures, and closeout figures for the past fiscal year. This record series is maintained to document the WIC monies spent each month, for budget purposes, and for grant purposes.

RETENTION: Retain 4 years, then destroy provided all litigation, claims, and audit finding involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-250)

DOH-124. WIC BANK CDS:

10-007

This compact disk series is arranged chronologically by month and contains copies of every check redeemed by the contract bank or voided by the State Office and imaged by the contract bank. Information may include: client name, client ID, family ID, dollar amount, WIC vendor, payee name, issue date, expiration date, and items which can be purchased. This record series is maintained for audit purposes.

RETENTION: Retain 4 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-252)

DOH-112. WIC CHECKS: Deleted from Schedule, 07/16/2020.

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u>Field Offices</u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1152</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-125. AGES AND STAGES QUESTIONNAIRES:

08-012

This series is arranged alphabetically and contains age-appropriate questionnaires that are completed by the parent(s) and age-appropriate scoring and data summary sheets completed by the nurse. Information may include: child's name, DOB, demographic information, and developmental screening information. This record series is used to document the child's development and is maintained to record the development progress until such time as the child enters school.

RETENTION: Retain in office until the child reaches the age of 7, then destroy.

(Note: Previous record series number was HEA-273)

DOH-126. ADMINISTRATIVE REFERENCE FILES:

07-039

This series is arranged alphabetically by subject matter and contains information used in the daily administration of the program or office. Information may include, but is not limited to: budget, equipment, inventory, legislation, organization/association, general correspondence and property management information; monthly reports; research materials; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; and other related information. This record series is maintained for reference purposes.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Cull files on a yearly basis to avoid build-up of superseded or obsolete materials.)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u>Field Offices</u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1152</u>

<u>RECORD</u>		<u>R.D.B.</u>
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-127. AUTHORIZATION FOR SERVICES (HS348):

07-039

This series is arranged alphabetically and by calendar year and contains the signed consent form from the patient for testing or services. Information may include: Authorization for Services (HS348), tuberculin skin testing information, PPD lot number, and PPD manufacturer. This record series is maintained to document the consent to receive skin testing and other services. Positive skin testing results for patient diagnosed with latent tuberculosis infection will have their records retained in the "Latent Tuberculosis Patient Record". Positive skin test results for patient diagnosed with tuberculosis will have their records retained in the "Tuberculosis Case Chart".

RETENTION: Retain negative results 10 years in field office, then destroy by shredding.

DOH-128. BABY CARE CLIENT RECORDS:

07-039

This computerized series is arranged alphabetically by client's name, then by a computer generated identification number and may contain the Prenatal Assessment Form, Prenatal Visit Records, Mother's Health & Social Inventory (Routine or Extended), Pregnancy Outcome Form, Family Visit Record, Infant Assessment Form, Referral/Resource Form, and Client Exit Form. Information may include: medical assessments and record of care provided. This record series is maintained as a record of medical services provided to individuals.

RETENTION: Retain 10 years after last date of services provided, then delete.

(NOTE: This record series was formerly called Prenatal Risk Assessment Form.)

(Note: Previous record series number was HEA-292)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u>Field Offices</u>
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RM CUSTOMER #:	<u>1152</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-129. BAD DEBT RECORDS:

07-039

This series is arranged alphabetically and contains bad debt information including names of clients with accounts having no payment activity in the last 120 days. Information may include: debtor's name and address, social security number, debt owed, date of original obligation, original amount due, and dates, types, and numbers of contacts (billings). The information is completed on an Exhibit D and is forwarded to the Finance Office in Pierre.

RETENTION: Retain records of outstanding debt in office. Once the debt has been satisfied or permission is given by Bureau of Finance and Management to write the debt off, then retain with financial records for 4 years. Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-266)

DOH-137. CHECK REGISTER:

10-007

This register provides a listing of all WIC checks issued by Local Agency per participant. Information may include: family identification number, check number, and name. This register is used by Local Agency to determine proof of check issuance that all participants must sign prior to receiving their checks.

RETENTION: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-301)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u>Field Offices</u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1152</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-138. CHECK STATUS FORMS: Deleted from Schedule, 07/16/2020.

10-007

DOH-130. CLIENT SATISFACTION SURVEY SUMMARIES-FP:

07-039

This series is arranged chronologically and contains the summary results of client satisfaction surveys completed by twenty-five percent of family planning clients. Information may include: client's view of services provided, staff knowledge and interaction, space, and confidentiality. This record series meets a quality assurance activity required by federal funding. The tabulated results are reviewed by field staff to identify corrective actions and by program staff during a program assessment visit.

RETENTION: Retain 3 years in office or until reviewed during program site assessment, then destroy.

(Note: Previous record series number was HEA-268-1)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u>Field Offices</u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1152</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-132. CONTRACT TB PHYSICIAN REIMBURSEMENT FORM
(HS417)-FIELD OFFICES:

07-039

This series is arranged alphabetically and chronologically by calendar year and contains a report of tuberculosis clinic work completed by contract physicians. Information may include: number of hours worked and date of services provided. This record series is maintained to document payments to physicians on contract with the Department of Health. The original form is maintained by the Department of Health Fiscal Office.

RETENTION: Retain copy 1 year in field office, then destroy by shredding.

DOH-133. CONVERTOR CLUSTER INVESTIGATION WORKSHEET
(HS430)-FIELD OFFICES:

07-039

This series is arranged by calendar year and contains investigations of tuberculosis skin test convertor clusters. Information may include: Convertor Cluster Investigation Worksheet (HS430), correspondence/E-mails, and investigation notes. This record series is maintained to document the report of convertor clusters so surveillance activities can be conducted to look for additional cases.

RETENTION: Transfer originals to the Central Office to be retained for 3 years, then destroy by shredding.

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u>Field Offices</u>
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RM CUSTOMER #:	<u>1152</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-134. DAILY STAFF ACTIVITY WORKSHEET:

07-039

This series is arranged alphabetically by nurses' name and contains the daily staff activity worksheets for community health and public health alliance nurses. Information may include: staff name, staff id, office identification number, date, client name, function codes, program codes, time, client identification, client age, and funding codes. This record series is used for reference on time studies.

RETENTION: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-272)

DOH-136. FINANCIAL INFORMATION AND LEDGER CARDS:

07-039

This electronic series is arranged alphabetically by client's name and contains services provided documenting charges, adjustments made, and cash received for services provided. It also includes a record of transmittals to the Remittance Center. Information may include: date, client number, fees charged, paid on account, donations, adjustments, balance due, patient financial information, and payments transferred to the Remittance Center. This records series is maintained to reconcile cash receipt transmittals, to provide an accounting of cash payments transferred to remittance center, and for audit purposes.

RETENTION: Retain 4 years after the last date the client was seen or the date of the transmittal, then delete provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-275)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u>Field Offices</u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1152</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-140. IMMUNIZATION CLINIC AUDIT:

10-007

This series may contain paper copies or electronic forms used to conduct the annual immunization clinic audit. Information may include: date of audit, region and county where audit was conducted, signatures of reviewers, and results of audit. The original is kept at the Central Office in Pierre.

RETENTION: Retain current audit cover letter in office. Destroy superseded or obsolete.

(Note: Electronic documents are stored on the “N” or “X” drive.)

(Note: Clinic Audits results are maintained in the CoCASA database on the Citrix server.)

(Note: Previous record series number was HEA-277)

DOH-141. IMMUNIZATION CONSENT FORMS:

17-005

This series is arranged alphabetically by patient’s name and contains the forms signed by clients or their guardians, which authorizes nurses covered under SDDOH Standing Orders and Public Health Alliance nurses to administer vaccine. Information may include: type of vaccine; date; client’s name, address, age, and birth date; manufacturer lot number, site of injection, and client’s or guardian’s signature. This record series does not include Vaccination Administration Records.

RETENTION: Retain 1 year in office, then scan paper and convert electronic images to microfilm. Maintain electronic images and microfilm for 19 years. Destroy electronic images and microfilm after 20 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-279)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u>Field Offices</u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1152</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-142. LATENT TUBERCULOSIS INFECTION REPORT FORM
(HS400)-FIELD OFFICES:

07-039

This series is arranged alphabetically by calendar year and contains the report of patients with latent tuberculosis infection. Information may include the Latent Tuberculosis Infection Report Form (HS400). This record series is used to report patients with latent tuberculosis infection.

RETENTION: Transfer the originals to Central Office to be retained for 2 years, then destroy by shredding.

REFERENCE COPIES: Retain 1 year in field office, then destroy by shredding.

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u>Field Offices</u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1152</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-143. LATENT TUBERCULOSIS PATIENT RECORD:

07-039

This series is arranged alphabetically and contains information on the treatment and management of patients with latent tuberculosis infection. Information may include: INH Patient Education and Consent Form (HS401), Agreement for Administration of Department of Health TB Medication in Facilities for Treatment of Latent Tuberculosis Infection (HS406), Tuberculosis Medication Log (HS407), Rifampin Patient Education and Consent Form (HS412), Report of CHN Services (HS168), Report of Services (HS346), Authorization for Services (HS348), Lutheran Social Services Request Form (HS439), letters, physician dictation, tuberculosis clinic notes, written prescriptions, physician orders, chest X-ray reports, laboratory reports, correspondence/E-mails, investigation notes, and refugee paperwork. This record series is used to document treatment and services/interventions provided as part of the investigation and management of the patient.

RETENTION: Retain all forms 1 year past closure in the field office, then microfilm/scan only forms listed above and maintain film 9 years. All remaining forms in the chart must be shredded. Destroy film after 10 years, provided all litigation, claims and audit findings involving the records have been resolved and final action has been taken.

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u>Field Offices</u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1152</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-145. MEDICAID BILLINGS:

07-039

This computerized series is arranged alphabetically and contains a summary listing of the Health Care Financing Administration (HCFA-1500) forms used to bill Social Services Medicaid Program for services performed at family planning clinics for Medicaid clients. Information may include: client's name, Medicaid number, date of service, place of service, procedure code, explanation of services, diagnosis code, charges, days or units, type of service, and authorizing signatures. This record series is maintained to document billings, to monitor payment, and for audit purposes.

RETENTION: Retain 4 years, then delete provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-283)

DOH-146. NUTRITION EDUCATION & MARKETING PLAN:

20-002

This electronic series is arranged chronologically and contains the Local Agency Nutrition Education and Marketing Plan. Information may include: needs assessment, demographic information, goals, action steps, calendar and evaluation. This record series is maintained to meet federal requirements.

RETENTION: Retain electronically for 4 years, then destroy.

(Note: Previous record series number was HEA-286)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u>Field Offices</u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1152</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-147. OFFICE OF DISEASE PREVENTION RELEASE OF INFORMATION:

07-039

This series is arranged chronologically by calendar year and contains the signed consent from patients. Information may include: Office of Disease Prevention Release of Information Form (HS449), TB Control Program Release of Information Form (HS450), Fax Cover Sheet (HS447), and Fax Cover Sheet (HS448). This record series is used to document the signed consent of the patient to release specified information to themselves or to others. All forms completed in the field office will be retained in the field office.

RETENTION: Retain 10 years in field office, then destroy by shredding provided all litigation, claims and audit findings involving the records have been resolved and final action has been taken.

(Note: Consider microfilming when volume warrants.)

DOH-148. PARTICIPANT FILES:

20-002

The series is electronically stored by name, client identification, family identification, and contains all related documentation required to participate in the WIC program. Information may include: income applications, participant agreement form, family record sheet, notice of ineligibility forms, notice of ineligibility history, certification forms, dietary assessment forms, growth charts, nutrition education care plans, and any other related documentation. This record series is used to determine those clients eligible to participate in the program and for recertification purposes.

RETENTION: Retain all files in Management Information System (MIS). Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-287)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u>Field Offices</u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1152</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-149. PATIENT CASE RECORDS-CHS:

26-001

Prior to January 31, 2022, this series was arranged alphabetically by family name and contains all related documentation concerning services provided by the Community Health Nurse. Information found in this series may include: billing reports, patient transfer forms, patient care plans, reports of nursing services provided, doctor authorizations, patient case records, description of treatment rendered, and client information sheets. Office services and home visit documentation/record, and all documentation that is a medical record is part of this series. This series provides documentation of all services to clients.

After January 31, 2022, patients were added to myInsight, an electronic health records system. This electronic system generates a client record that is arranged alphabetically by client's name and assigned an identification number. Information may include: billing, medical assessments, record of care provided, and doctor authorization. This series is an electronic health record.

RETENTION: Prior to January 31, 2022, retain 1 year in office, then scan paper and convert electronic images to microfilm. Maintain electronic images and microfilm for 19 years. Destroy electronic images and microfilm after 20 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

After January 31, 2022, retain client records permanently in electronic health records system.¹

(Note: Previous record series number was HEA-288)

¹ Currently, records retention functionality is not available in Netsmart myInsight. The roadmap timeline has the functionality available in Q2 of 2027. Consider revisiting retention once the records retention functionality becomes available.

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u>Field Offices</u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1152</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-150. PATIENT CASE RECORDS-FP:

07-039

This series is arranged alphabetically and contains all related documentation concerning services provided to clients by the family planning staff. Information may include, but is not limited to: client name and personal information, ledger card, initial database (IDB), continuation database (CDB), client flow record, progress notes, pregnancy test (HCG) reports, consent forms, income determination forms, and related correspondence. This information is maintained to document services provided to clients and for billing purposes. Billing information is maintained four years for audit purposes.

RETENTION: Retain active in office. Inactive charts (when client has not received family planning services within the last 18 months) are microfilmed after financial information has been removed. Microfilm is maintained in Central Office for 10 years, then destroyed provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-290)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u>Field Offices</u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1152</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-151. RECEIPT BOOK:

07-039

This book contains copies of receipts documenting cash received. Each receipt shows: payor, amount, date, purpose, and signature of issuer. This record series provides an account for cash payments transferred to Community Health Services and are maintained for audit purposes.

RETENTION: Retain full books 1 year in office, then transfer to storage for 3 years. Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(NOTE: Electronic receipts will be archived electronically. Paper copies of electronic receipts must not be printed and maintained.)

(Note: Previous record series number was HEA-293)

DOH-152. REFUGEE PAPERWORK:

07-039

This series is arranged alphabetically by calendar year and contains medical information from the overseas evaluation of refugees who have resettled in South Dakota. Information may include: Medical Examination for Immigrant or Refugee Applicant, Class A Notification and Waiver, Class B Notification, and Notice of Arrival of Alien with TB. This record series is maintained to document the medical evaluation of immigrants. Refugees diagnosed with latent tuberculosis infection will have their records retained in the "Latent Tuberculosis Patient Record". Refugees diagnosed with tuberculosis will have their records retained in the "Tuberculosis Case Chart".

RETENTION: Retain results 1 year in the field office, then destroy by shredding.

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u>Field Offices</u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1152</u>

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
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DOH-153. SCHOOL CARDS:

07-039

This 5" X 7" card series is arranged alphabetically by school name, then by student name. The record is used to document the health status of the students as indicated by the school health assessment. Information may include: date of inspection; student's grade; results of screening test (vision and hearing); results from examination of teeth, throat, heart, lungs, glands, skin, scoliosis screening, and allergies; and any referrals made. This record series is used to document the health status of students in public schools.

RETENTION: Retain in office 10 years past the age of majority or the last date of service, whichever longer, then destroy.

(Note: Upon graduation from high school, the card may be given to the student if so requested. Card may be given to the school if a contract to do so has been written. Consider data processing or microfilming for more efficient storage and handling.)

(Note: Previous record series number was HEA-297)

DOH-154. SIOUX FALLS TB CLINIC APPOINTMENT LOG (HS435):

07-039

This series is arranged chronologically by calendar year and contains a list of patients scheduled for an appointment at the tuberculosis clinic. Information may include: Sioux Falls TB Clinic Appointment Log (HS435) and scheduling notes. This record series is maintained to ensure appropriate scheduling of patients for clinic time.

RETENTION: Retain in field office 1 year, then destroy by shredding.

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u>Field Offices</u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1152</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

**DOH-155. SOUTH DAKOTA DEPARTMENT OF HEALTH EMPLOYEE
TB SYMPTOM EDUCATION FORM (HS351)–FIELD
OFFICE:**

07-039

This series is maintained in the Department of Health personnel file and documents the annual education of tuberculin infected employees. Information may include: South Dakota Department of Health Employee TB Symptoms Education Form (HS351), medical follow-up, treatment information, and medical evaluations. This information is maintained to document the employee was educated and screened for tuberculosis symptoms annually.

RETENTION: Retain in personnel file until the end of employment, then destroy.

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	Health
DIVISION:	Family & Community Health
OFFICE:	Child & Family Services
PROGRAM:	Field Offices
RECORDS OFFICER:	Darcy McGuigan
RM CUSTOMER #:	1152

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-156. SUSPECT TUBERCULOSIS CASE FILES-FIELD OFFICES:

07-039

This series is arranged alphabetically and contains a report of each suspect tuberculosis case. Information may include: Tuberculosis Case Report Form (HS420), TB Case Summary (HS421), Patient TB Treatment Summary (HS422), Tuberculosis Case Side Effects Assessment Form (HS423), TB Disease-Patient Education and Consent Form (HS424), TB Case Progress Notes (HS425), Monthly TB Case Progress Report (HS426), Agreement for Administration for Department of Health TB Medication in Facilities for Treatment of Tuberculosis Disease (HS427), TB Contact Investigation Worksheet (HS428), written prescriptions, physician orders, laboratory reports, chest X-ray reports, investigation notes, correspondence/E-mail, Report of Services (HS346), Authorization for Services (HS348), Report of CHN Services (HS168), and refugee paperwork. This record series is used to document treatment and services/interventions provided as part of the investigation and management of the patient. Positive case records are maintained in "Tuberculosis Case Chart".

RETENTION: Retain negative records 5 years in field office, then microfilm/scan and maintain film for 5 years. Destroy film after 10 years provided all litigation, claims and audit findings involving the records have been resolved and final action has been taken.

DOH-157. TB CLIENT CHANGE OF STATUS FORM (HS437)-FIELD OFFICE:

07-039

This series is arranged alphabetically by calendar year and contains a report of changes to patients on treatment. Information may include: TB Client Change of Status Form (HS437), therapy changes, dosage changes, moving in-state, moving out-of-state, and restarting therapy. This record series is maintained to document therapy changes and update the information in the database.

RETENTION: Transfer originals to Central Office to be retained for 2 years, then destroy by shredding.

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u>Field Offices</u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1152</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-158. TB CLUSTER INVESTIGATION FORM FOR RECORD
ABSTRACTION & PATIENT INTERVIEW (HS445)-FIELD
OFFICE:

07-039

This series is arranged chronologically by calendar year and documents the investigation of tuberculosis clusters. Information may include: TB Cluster Investigation For Record Abstraction and Patient Interview (HS445), investigation notes, and correspondence/E-mail. This record series is maintained to document the investigation of a tuberculosis cluster.

RETENTION: Transfer originals to Central Office to be retained for 5 years, then destroy by shredding.

DOH-159. TRANSFER VERIFICATION OF CERTIFICATION (VOC):

20-002

This electronic series includes e-mails with electronic transfers (VOC) and paper transfer (VOC) registers generated by the computer for transfer out-of-state or to other WIC agencies such as ITO's (Indian Tribal Offices). Information may include: date issued, participant's name, income, nutrition risk code, expiration date, and signature line. This record series is used for reference and documentation purposes.

RETENTION: Retain 4 years in Management Information System (MIS), then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-311)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u>Field Offices</u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1152</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-160. TUBERCULOSIS CASE CHART-FIELD OFFICE:

07-039

This paper series is arranged alphabetically and contains tuberculosis medical information on reported cases. Information may include the following forms: TB Case Report Form (HS420), TB Case Summary (HS421), Patient TB Treatment Summary (HS422), Tuberculosis Case Side Effects Assessment Form (HS423), TB Disease–Patient Education and Consent Form (HS424), TB Case Progress Notes (HS425), Monthly TB Case Progress Report (HS426), Agreement for Administration of Department of Health TB Medication in Facilities for Treatment of Tuberculosis Disease (HS427), TB Contact Investigation Worksheet (HS428), written prescription, physician orders, laboratory reports, chest X-ray reports, correspondence/E-mails, Report of Services (HS346), Authorization for Services (HS348), Report of CHN Services (HS168), and refugee paperwork. This record series is used to document treatment and services provided as part of the investigation and management of the patient.

RETENTION: Retain in field office 5 years, then transfer to Central Office to be merged and maintained with “Tuberculosis Case Chart”.

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u>Field Offices</u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1152</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-161. TUBERCULOSIS LABORATORY REPORTS, STATE PUBLIC HEALTH LABORATORY:

07-039

This series is arranged alphabetically and contains the laboratory report for tuberculosis testing from the State Public Health Laboratory. Information may include: patient name, patient date of birth, specimen type, specimen collection date, and test results. This information is maintained to conduct surveillance for active tuberculosis cases. Positive results will be retained in the "Tuberculosis Case Chart". Negative results for patient diagnosed with latent tuberculosis infection will be retained in the "Latent Tuberculosis Patient Record".

RETENTION: Retain negative results up to 6 months in the field office, then destroy by shredding.

(Note: Previous record series number was HEA-308)

DOH-162. TUBERCULOSIS REACTOR CARD (HS402)-FIELD OFFICE:

07-039

This paper and database series is arranged alphabetically and contains latent tuberculosis infection information on the patient. Information may include: tuberculin skin test, chest X-ray, treatment, medication side effects, progress notes, Tuberculosis Reactor Card (HS402), Extra Progress Notes (HS403), physician orders, and prescriptions. This record series is used to document treatment and medical management of the patient.

RETENTION: Retain original in the field office 1 year past closure, then transfer to Central Office for inclusion in TB registry.

REFERENCE COPIES: Retain 1 year in field office, then destroy by shredding.

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u>Field Offices</u>
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RM CUSTOMER #:	<u>1152</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-163. TUBERCULOSIS X-RAYS:

07-039

This series is arranged chronologically by calendar year and contains X-rays film for persons evaluated for tuberculosis. This record series is maintained as medical information for reference by physicians and other health care professionals.

RETENTION: Retain in field office 5 years, then destroy.

(Note: Contact the Records Management Program in Pierre for assistance in the proper destruction.)

(Note: Previous record series number was HEA-309)

DOH-164. VACCINE ADMINISTRATION RECORD:

19-002

This series is arranged alphabetically by client name and is used to record all immunizations and tuberculin skin tests administered to the clients. Information may include: client name, date of birth, address, telephone number, parent's name, doctor's name, type of immunization given, date of immunization, vaccine manufacturer, vaccine lot number, site of immunization, consent to provide immunization, and initials and signature of vaccine administrator. This series serves as a history for each client of the various types of immunizations administered by Community Health Services. Also serves as record for parent/client of SDIIS documentation of immunizations.

RETENTION: Retain 1 year in office, then scan paper and convert electronic images to microfilm. Maintain electronic images and microfilm for 19 years. Destroy electronic images and microfilm after 20 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-310)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Child & Family Services</u>
PROGRAM:	<u>Field Offices</u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1152</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-166. WIC MONTHLY EXPENDITURE REPORTS:

07-039

This paper or electronic series contains information completed by the WIC local agency listing county contract expenditures incurred during the month and request for reimbursement from the State Office. Information may include: county name, contract amount, contract number, month, expenditures, total amount, and authorized signatures. The State Department of Health maintains the original. The copy is used to ensure receipt of the original by the State Office.

RETENTION: Retain 1 year in office, then destroy.

(Note: Previous record series number was HEA-313)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT: Health
DIVISION: Family & Community Health
OFFICE: Chronic Disease Prev & Hlth Pro
PROGRAM: _____
RECORDS OFFICER: Darcy McGuigan
RM CUSTOMER #: 1208

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-167. ADMINISTRATIVE REFERENCE FILES:

07-039

This series is arranged alphabetically by subject matter and contains information used in the daily administration of the program or office. Information may include, but is not limited to: budget, equipment, inventory, legislation, organization/association, general correspondence and property management information; monthly reports; research materials; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; and other related information. This record series is maintained for reference purposes.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Cull files on a yearly basis to avoid build-up of superseded or obsolete materials.)

DOH-168. ALL WOMEN COUNT! PARTICIPANT FORMS:

10-007

This series contains the forms filled out by clinic providers for each woman whose screening is paid for by the program. Information may include: client demographic information, diagnosis, and treatment history. This record series is used for administrative and management purposes. Audit information is maintained by the Finance Office.

RETENTION: PAPER FORMS: Scan daily and destroy provided scanned images have been verified to be accurate.

DATABASE: Update quarterly on State server. Destroy updates after 2 years provided superseded or obsolete.

ELECTRONIC IMAGES: Retain current. Destroy superseded or obsolete.

(Note: Previous record series number was HEA-317)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT: Health
DIVISION: Family & Community Health
OFFICE: Chronic Disease Prev & Hlth Pro
PROGRAM: _____
RECORDS OFFICER: Darcy McGuigan
RM CUSTOMER #: 1208

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-169. BREAST AND CERVICAL CANCER CONTROL, BILLING
REPORT:

26-001

This series is arranged numerically by Participant ID number and only contains information on services paid by the program. Information may include: client's name, birth date, contact information, provider name, amount billed, and amount paid. All records are stored in a secure cloud-based public health data management system. This record series is used for program management purposes and continued reporting to the Center of Disease Control and Prevention (CDC).

RETENTION: Retain electronically in public health data management system. Destroy when permission is received from CDC to no longer report cumulative data.

(Note: Previous record series number was HEA-316)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT: Health
DIVISION: Family & Community Health
OFFICE: Chronic Disease Prev & Hlth Pro
PROGRAM: _____
RECORDS OFFICER: Darcy McGuigan
RM CUSTOMER #: 1208

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-170. CONTINUING EDUCATION DOCUMENTATION:

07-039

This series is arranged alphabetically by profession and contains documentation as required by continuing education credit grantors. Information may include: applications for continuing education credit, disclosure forms, letters of approval, sign-in sheets and/or lists of participants of activities. Professions include: Physicians Assistant, Registered Nurse, Registered Pharmacist, and Social Worker. This record series is maintained for administrative and legal purposes.

RETENTION: PHYSICIANS ASSISTANT: Retain proof of a PA's participation for 7 years after class, workshop, or conference, then destroy.

REGISTERED NURSE: Retain records for each activity for 5 years in a secure and confidential manner in accordance with the American Nurses Credentialing Center's Commission on accreditation's regulations, then destroy.

REGISTERED PHARMACISTS: Retain 4 years after class, workshop, or conference, then destroy.

SOCIAL WORKER: Retain list of participants for 5 years after class, workshop, or conference, then destroy.

(Note: Previous record series number was HEA-346)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT: Health
DIVISION: Family & Community Health
OFFICE: Chronic Disease & Prev Hlth Pro
PROGRAM: _____
RECORDS OFFICER: Darcy McGuigan
RM CUSTOMER #: 1208

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-28. PATHOLOGY REPORTS:

13-006

This record series is arranged chronologically by pathology laboratory, then alphabetically within by patient's last name and contains information regarding reportable cancer cases. Information may include: patient demographics, medical provider, cancer site, clinical history, diagnosis, gross description, microscopic description, and medical treatment. This record series is used for cancer case findings.

RETENTION: Retain in Cancer Registry office for 1 year, then destroy by shredding.

(Note: Previous record series number was HEA-334)

DOH-171. QUARTERLY DEATH REPORTS:

07-039

This electronic and paper series is arranged chronologically by quarter, then alphabetically within by the deceased's last name and contains information for the cancer registry. Information may include: deceased full name, date of birth, date of death, resident state, resident county, ICD-10 code, social security number, and if an autopsy was performed. This record series is used for follow up of cancer cases and case finding of new cancer cases.

RETENTION: PAPER RECORDS: Retain in Certified Tumor Registrar (CTR) office for 4 years, then destroy by shredding.

ELECTRONIC RECORDS: Retain in Certified Tumor Registrar (CTR) office for 10 years, then delete.

(Note: Previous record series number was HEA-335)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Disease Prevention</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1135</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-78. ADMINISTRATIVE REFERENCE FILES:

07-039

This series is arranged alphabetically by subject matter and contains information used in the daily administration of the program or office. Information may include, but is not limited to: budget, equipment, inventory, legislation, organization/association, general correspondence and property management information; monthly reports; research materials; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; and other related information. This record series is maintained for reference purposes.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Cull files on a yearly basis to avoid build-up of superseded or obsolete materials.)

DOH-79. CONTRACT TB PHYSICIAN REIMBURSEMENT FORM
(HS417):

07-039

This series is arranged alphabetically and by fiscal year and contains a report of tuberculosis clinic work completed by contract physicians. Information may include: number of hours worked and date services were provided. This record series is maintained to document payments to physicians on contract with the Department of Health. The original is submitted to the Finance Office for payment.

RETENTION: Retain copy 2 years in Central Office, then destroy by shredding.

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Disease Prevention</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1135</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-80. CONVERTOR CLUSTER INVESTIGATION WORKSHEET
(HS430):

07-039

This series is arranged chronologically by calendar year and contains investigations of tuberculosis skin test convertor clusters. Information may include: the Convertor Cluster Investigation Worksheet (HS430), correspondence/E-mails, and investigation notes. This record series is maintained to document the report of convertor clusters so surveillance activities can be conducted to look for additional cases.

RETENTION: Retain in Central Office 3 years, then destroy by shredding.

(Note: Previous record series number was HEA-318)

DOH-81. EPIDEMIOLOGY (EPI) ANIMAL RABIES RECORDS:

07-039

This series contains confidential reports of investigations into the human and/or animal exposures to animals with or suspected to have rabies. Information may include: animal type, summary of incident, recommendations made to the medical and public officials, and consultant's comments. This record series is maintained for reference and to document recommendations made by Health Department personnel.

RETENTION: Retain 3 years in office, then microfilm and maintain film 7 years in office. Destroy film after 10 years.

(Note: Previous record series number was HEA-183)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Disease Prevention</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1135</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-82. EPIDEMIOLOGY (EPI) CHRONIC HEPATITIS REGISTRY:

07-039

This electronic database series is arranged chronologically and contains information about individuals who are chronically infected with viral hepatitis B and/or C. Information may include: personal identifiers, demographic information, laboratory test results, risk factors and documentation of intervention activities throughout the patient's lifetime. The information contained in this registry is confidential.

RETENTION: Retain in database 75 years, then delete.

(Note: Previous record series number was HEA-342)

DOH-83. EPIDEMIOLOGY (EPI) INVESTIGATION RECORDS (GERF'S):

07-039

This paper and database series is arranged chronologically and these confidential records contain the results and documentation of individual disease investigation. Information may include: summary of the investigation, recommendations made to the patient, clinical, and/or other agencies involved in the disease investigation. This record series is used for an investigation of infectious diseases and is maintained for legal and medical purposes.

RETENTION: PAPER: Retain 3 years in office, then microfilm and maintain film for 7 years. Destroy after 10 years.

DATABASE: Retain 10 years, then delete.

(Note: Previous record series number was HEA-343)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Disease Prevention</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1135</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-84. EPIDEMIOLOGY (EPI) OUTBREAK FILES:

07-039

This series is arranged chronologically and contains information on selected disease outbreaks investigated in South Dakota. This series contains some information which is considered confidential. Information may include: summary outbreak investigation report, individual case records, interview records, and laboratory results. This record series is maintained as resource material for training and historical purposes.

RETENTION: Retain in secure file 10 years in office, then destroy.

(Note: Events of historical significance can be microfilmed and maintained for 40 years in office, then transferred to State Archives for final disposition.)

(Note: Previous record series number was HEA-193)

DOH-85. EPIDEMIOLOGY (EPI) SURVEILLANCE RECORDS (NETSS):

07-039

This computer database series is arranged chronologically and contains confidential information of notifiable diseases in South Dakota. Information may include: personal identifiers, demographic information, and information to support case definition. The data files are the basis for morbidity reports and are analyzed to study trends. This record series is used to provide surveillance information at the national level.

RETENTION: Retain in a secure electronic (backup) device for 10 years, then destroy.

(Note: Previous record series number was HEA-188)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Disease Prevention</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1135</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-86. EPIDEMIOLOGY (EPI) SURVEILLANCE REPORTS:

07-039

This series is arranged chronologically and contains the annual disease morbidity reports of notifiable diseases pursuant to SDCL 34-22-12 and ARSD 44:20 in South Dakota. Information may include: disease incidence by county, month, age, race and gender. This record series is maintained to study trends, participate in national surveillance, and provides historical disease occurrence information.

RETENTION: Retain 10 years in office, then microfilm and maintain film for 40 years. Destroy after 50 years.

(Note: Microfilm subject to archival screening.)

(Note: Previous record series number was HEA-186)

DOH-87. HIV/AIDS CASE REGISTRY:

17-005

This paper and database series is arranged chronologically and contains information about individuals who are HIV infected. Information may include: HIV/AIDS confidential case reports, interview records, death certificates, laboratory data, clinical status, epidemiological data, and anecdotal notes for each person reported as an HIV/AIDS case. Information from the paper records is entered into the electronic database.

RETENTION: DATABASE: Retain 75 years, then delete provided the individual is known to be deceased.

PAPER: Retain 1 year, then destroy provided information has been entered into database.

(Note: Previous record series number was HEA-185)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Disease Prevention</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1135</u>

<u>RECORD</u>		<u>R.D.B.</u>
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-89. IMMUNIZATION CERTIFICATES:

26-001

This series is arranged alphabetically and contains the immunization certificates received on each child entering school in South Dakota. Information on the immunization certificate includes: child's name, date of birth, vaccination dates, and school. The certificate is a legal document verifying appropriate immunization has been received by each child entering school in South Dakota.

RETENTION: Retain electronically in the South Dakota Immunization Information System (SDIIS) for lifetime of the patient, then purge and destroy.

MICROFILM: Retain existing microfilm for 100 years, then destroy.

(Note: Previous record series number was HEA-199)

DOH-90. INTERSTATE REPORTING OF REPORTABLE DISEASES:

07-039

This series is arranged chronologically and contains reports of patients with reportable disease conditions who reside in other states. Information may include: Interstate Reciprocal Notification of Disease Form, Inter-jurisdictional Tuberculosis Notification, laboratory reports, disease investigation report forms, copy of Tuberculosis Reactor Card (HS402), report from electronic tuberculosis registry, and copies of forms from the Tuberculosis Case Chart. This information is maintained to document the referral of reportable disease conditions for patients who reside in other States.

RETENTION: Retain 2 years in central office, then destroy by shredding.

(Note: Previous record series number was HEA-322)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Disease Prevention</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1135</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-91. LATENT TUBERCULOSIS INFECTION REPORT FORM
(HS400):

07-039

This series is arranged alphabetically by calendar year and contains the report of patients with latent tuberculosis infection. Information may include: the "Latent Tuberculosis Infection Report Form" (HS400). This record series is used to report patients with latent tuberculosis infection.

RETENTION: Retain 2 years in Central Office, then destroy by shredding.

(Note: Previous record series number was HEA-323)

DOH-92. MEDICATION DISTRIBUTION FORM:

07-039

This series is arranged chronologically and contains medication distribution information. Information may include: Medications Issued Form, date provided, provider name, medication name, dosage, number of tablets issued, lot number, and expiration date. This record series is maintained to document medication distribution for sexually transmitted diseases and tuberculosis.

RETENTION: Retain 3 years in central office, then destroy by shredding.

(Note: Previous record series number was HEA-324)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Disease Prevention</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1135</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-93. OFFICE OF DISEASE PREVENTION RELEASE OF INFORMATION:

07-039

This series is arranged chronologically by calendar year and contains the signed consent of patients. Information may include: Office of Disease Prevention Release of Information Form (HS449), TB Control Program Release of Information Form (HS450), Fax Cover Sheet (HS447), and Fax Cover Sheet (HS448). This record series is used to document the signed consent of the patient to release specified information to themselves or others. All forms completed in the Central Office will be retained in the Central Office.

RETENTION: Retain 10 years in Central Office, then destroy by shredding provided all litigation, claims and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-325)

DOH-94. RYAN WHITE CARE PROGRAM ACTIVE CLIENTS:

07-039

This series is arranged alphabetically and contains files for active clients of the Title II Ryan White Care Program. Information may include: each client's application for the program, correspondence with the client, and copies of bills paid for the client. This record series is maintained for documentation purposes.

RETENTION: Retain active in office. Destroy 6 months after inactive, provided all bills have been paid.

(Note: Previous record series number was HEA-326)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Disease Prevention</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1135</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-95. SOUTH DAKOTA DEPARTMENT OF HEALTH EMPLOYEE TB SYMPTOM EDUCATION FORM (HS351):

07-039

This series is maintained in the Department of Health personnel file and documents the annual education of tuberculin infected employees. Information may include: South Dakota Department of Health Employee TB Symptom Education Form (HS351), medical follow-up, treatment information, and medical evaluations. This record series is maintained to document the employee was educated and screened for tuberculosis annually.

RETENTION: Retain in personnel file until the end of employment, then destroy.

DOH-96. STD MORBIDITY & CASE INVESTIGATION REPORTS:

07-039

This confidential database is arranged alphabetically by patient number and contains a record of confirmed cases of STDs investigated by the Health Department. Information may include: name, age, gender, race, and residence. The information is maintained as a database for STD morbidity and for statistical reporting purposes.

RETENTION: DATABASE: Retain permanently.

FIELD OFFICES: Retain copies of investigations conducted for 3 years, then destroy.

(Note: The paper copies submitted to the Central Office are destroyed after data entry has been verified to be accurate and complete.)

(Note: Previous record series number was HEA-216)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Disease Prevention</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1135</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-97. SUSPECT TUBERCULOSIS CASE FILE:

07-039

This series is arranged alphabetically by calendar year and contains a report of each suspect tuberculosis case. Information may include: Tuberculosis Case Report Form (HS420), Monthly TB Case Progress Report (HS426), treatment information, laboratory reports, chest X-ray reports, investigation notes, correspondence/E-mail, and refugee paperwork. This record series is used to document treatment and services/interventions provided as part of the investigation and management of the patient.

RETENTION: NEGATIVE RECORDS: Retain 5 years in Central Office, then destroy by shredding.

POSITIVE RECORDS: Transfer to the "Tuberculosis Case Chart."

(Note: Previous record series number was HEA-220)

DOH-98. SYPHILIS REGISTRY:

07-039

This confidential card series is arranged alphabetically and contains information on all individuals who have been treated for syphilis. This file contains records prior to 1985. Once an individual has had syphilis, blood tests will always be positive. Information may include: name, address, date, disease confirmation, Early Syphilis Reports, laboratory results, doctor's name, and doctor's comments. This record series is maintained to monitor confirmed syphilis cases and determine adequate treatment has been prescribed for syphilis patients in South Dakota.

RETENTION: Retain 75 years in office, then destroy.

(NOTE: Consider microfilming when volume warrants.)

(Note: Previous record series number was HEA-222)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Disease Prevention</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1135</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-99. TB CLIENT CHANGE OF STATUS FORM (HS437):

07-039

This series is arranged alphabetically by calendar year and contains a report of changes to patients on treatment. Information may include: TB Client Change of Status Form (HS437), therapy changes, dosage changes, moving in-state, moving out-of-stat, and restarting therapy. This record series is maintained to document therapy changes and to update the information in the database.

RETENTION: Retain in Central Office 2 years, then destroy by shredding.

DOH-100. TB CLUSTER INVESTIGATION FORM FOR RECORD
ABSTRACTION AND PATIENT INTERVIEW (HS445):

07-039

This series is arranged chronologically by calendar year and documents the investigation of tuberculosis clusters. Information may include: TB Cluster Investigation Form for Record Abstraction and Patient Interview (HS445), investigation notes, and correspondence/E-mails. This record series is maintained to document the investigation of a tuberculosis cluster.

RETENTION: Retain in Central Office 5 years, then destroy by shredding.

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Disease Prevention</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1135</u>

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
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**DOH-101. TB LABORATORY REPORTS, STATE PUBLIC HEALTH
LABORATORY:**

07-039

This series is alphabetically by Disease Intervention Specialist region and contains the laboratory report for tuberculosis testing from the State Public Health Laboratory. Information may include: patient name, patient date of birth, specimen type, specimen collection date, and test results. This record series is maintained to conduct surveillance for active tuberculosis.

RETENTION: NEGATIVE RECORDS: Retain 6 months in Central Office, then destroy by shredding.

POSITIVE RECORDS: Transfer to the "Tuberculosis Case Chart."

DOH-102. TB MANAGEMENT REPORTS:

07-039

This electronic series is arranged by report name and year of report and contains the Tuberculosis Information Management System (TIMS) database from the Centers for Disease Control, which contains statistical data. Information may include: number of people identified, number of people treated, and information on Latent Tuberculosis Infection (LTBI) numbers. The record series is used to conduct statewide analysis of disease trends and is maintained as historical data.

RETENTION: Retain data 25 years, then delete.

(Note: Previous record series number was HEA-184)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Disease Prevention</u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1135</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-103. TB PROGRAM CONTRACT CHARTS:

07-039

This series is arranged alphabetically and by fiscal year and contains the current contract information for consultants on contract with Department of Health. Information may include: consultant contract, expenditures, insurance statements, copy of drivers license, copy of nursing license, W-9 forms, monthly timesheets, and correspondence. This record series is maintained to document the services provided and payments to consultants on contract with the Department of Health.

RETENTION: Retain 10 years past final contract year, then destroy by shredding provided all litigation, claims and audit findings involving the records have been resolved and final action has been taken.

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
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RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1135</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-104. TUBERCULOSIS CASE CHART:

07-039

This paper and database series is arranged alphabetically and contains tuberculosis medical information on reported cases. Information may include: Tuberculosis Case Report Form (HS420), TB Case Summary (HS421), Patient TB Treatment Summary (HS422), Tuberculosis Case Side Effects Assessment Form (HS423), TB Disease-Patient Education and Consent Form (HS424), TB Case Progress Notes (HS425), Monthly TB Case Progress Report (HS426), Agreement for Administration for Department of Health TB Medication in Facilities for Treatment of Tuberculosis Disease (HS427), TB Contact Investigation Worksheet (HS428), written prescriptions, physician orders, laboratory reports, chest X-ray reports, investigation notes, correspondence/E-mail, Report of Services (HS346), Authorization of Services (HS348), Report of CHN Services (HS168), and refugee paperwork. This record series is used to document treatment and services/interventions provided as part of the investigation and management of the patient. A summary of this information is maintained in an electronic database.

RETENTION: Retain chart in Central Office 5 years, then combine with field office chart to create master chart with no duplication of forms. Scan/microfilm master chart and maintain film 45 years. Destroy after 50 years.

DATABASE: Retain 50 years, then delete.

(Note: Previous record series number was HEA-223)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Family & Community Health</u>
OFFICE:	<u>Disease Prevention</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1135</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-105. TUBERCULOSIS REACTOR CARD (HS402):

07-039

This paper and database series is arranged alphabetically and contains latent tuberculosis infection information on the patient. Information may include: tuberculin skin test, chest x-ray, treatment, medication side effects, progress notes, Tuberculosis Reactor Card (HS402), Extra Progress Notes (HS403), physician orders, and prescriptions. This record series is maintained to document treatment and medical management of the patient. A summary of this record is also maintained in an electronic database.

RETENTION: Retain original in field office 1 year past closure, then transfer to Central Office for inclusion in TB registry. Retain 49 years in TB registry, then destroy by shredding.

DATABASE: Retain 50 years, then delete.

(Note: Previous record series number was HEA-329)

DOH-106. VACCINE PROVIDER CONTRACT:

07-039

This series is arranged numerically by provider identification number and contains contracts completed by vaccine providers. Information may include: provider certification form, provider profile form, provider monthly reports and audits, and other related information pertaining to each specific provider. This record series is maintained for possible litigation purposes and must be available for the National Immunization Program (NIP) upon written request.

RETENTION: Retain 3 years in office, then destroy.

(NOTE: NIP requires provider agreements and profiles to be kept for a minimum of 3 years.)

(Note: Previous record series number was HEA-229)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Health Protection</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1133</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-172. ADMINISTRATIVE REFERENCE FILES:

07-039

This series is arranged alphabetically by subject matter and contains information used in the daily administration of the program or office. Information may include, but is not limited to: budget, equipment, inventory, legislation, organization/association, general correspondence and property management information; monthly reports; research materials; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; and other related information. This record series is maintained for reference purposes.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Cull files on a yearly basis to avoid build-up of superseded or obsolete materials.)\

DOH-173. CONTRACTS, FEE REVERSIONS:

07-039

This series is arranged chronologically and contains information relating to fees returned to cities and counties which have organized health departments for inspections conducted on behalf of this agency. Information may include, but is not limited to: copies of contracts and related correspondence. This information is maintained for reference purposes. The Health Department's finance office maintains the audit copies.

RETENTION: Retain 3 years in office, then destroy.

(Note: Previous record series number was HEA-173)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Health Protection</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1133</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-174. ESTABLISHMENT INSPECTION INDEX (COMPUTER):

07-039

This computer series is arranged alphabetically and contains a summary of inspection data and current license information for food, lodging, and campgrounds. Information may include: name, address, summary of inspection data, date of inspection, and name of the inspector. This record series provides a quick reference of food, lodging, and campground sanitation inspection information.

RETENTION: Retain current on computer. Destroy superseded or obsolete.

Retain history on disc for life of establishment.

(Note: Previous record series number was HEA-177)

DOH-175. ESTABLISHMENT LICENSE INSPECTION FILES:

07-039

This series is arranged numerically and contains data on all food, lodging, and campground establishments licensed by the division. Licenses are renewed annually. Information may include: license applications, fees paid, refund notice of overpayments, copies of inspection reports, correspondence, deficiencies, recommendations, related working papers, and notices of closure. This record series is used for reference and inspection purposes.

RETENTION: Retain 1 year in office, then transfer to storage for 4 years. Destroy after 5 years.

(Note: Previous record series number was HEA-178)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Health Protection</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1133</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-177. INVESTIGATION FILES (MISCELLANEOUS):

07-039

This series is arranged alphabetically by town or area and serves as a central depository for environmental health problems complaint investigations. The investigations cover complaints regarding situations which are licensed by the Health Department, but may pose a detrimental health risk. Information may include: correspondence from the person(s) filing the initial complaint, investigation narrative, and recommendations for action sent to the local governing authorities (county, township, or city). This record series is maintained to document the complaint investigation and recommendations made to local authorities.

RETENTION: Retain 2 years in office, then destroy.

(Note: Previous record series number was HEA-180)

DOH-178. TEMPORARY ESTABLISHMENT FILES:

07-039

This series is arranged numerically and contains food service inspections and complaint inspection information for establishments such as bars, lodging, campgrounds, and food service locations with temporary licenses. Information may include: establishment name, owner's name, complaint(s), temporary license applications, inspection reports, related correspondence, corrective action recommendations and action taken, license revocation information, and litigation proceedings. This record series is maintained to document on-site complaint inspections, and for litigation purposes.

RETENTION: Retain 2 years in office, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-181)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Licensure & Certification</u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1131</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-179. ADMINISTRATIVE REFERENCE FILES:

07-039

This series is arranged alphabetically by subject matter and contains information used in the daily administration of the program or office. Information may include, but is not limited to: budget, equipment, inventory, legislation, organization/association, general correspondence and property management information; monthly reports; research materials; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; and other related information. This record series is maintained for reference purposes.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Cull files on a yearly basis to avoid build-up of superseded or obsolete materials.)

DOH-180. APPLICATIONS, CONTROLLED SUBSTANCE REGISTRANTS:

07-039

This series is arranged alphabetically and contains applications which are pending Health Department registration action. Information may include: registrant's name, address, telephone number, date, business activity, experience, training, other state or national licenses, certifications or registrations held, drug schedule, signatures and registration number (if approved). This record series is maintained to monitor the status of applications submitted to the division. Successful registration applications are transferred to their respective "Registration Files, Pharmacies."

RETENTION: Retain unsuccessful applications 1 year in office, then transfer to storage for 2 years. Destroy after 3 years.

(Note: Previous record series number was HEA-130)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Licensure & Certification</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1131</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-181. ARCHITECTURAL DRAWING LOGS:

07-039

This log is arranged alphabetically by facility name and provides an inventory of architectural blueprints and other scale drawings of South Dakota health care facilities. Information may include: name, address, where the plans are stored in this office, construction plan numbers, and construction dates. This record series is maintained as a quick reference to medical facility architectural construction projects.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Previous record series number was HEA-131)

DOH-182. ARCHITECTURAL DRAWINGS:

07-039

This series is arranged alphabetically by building name and contains blueprints and other scale drawings of the health care facility construction or remodeling projects. Information may include: building name, type of construction, cost, bids, specifications, correspondence, status of construction, and preliminary, on-site, and final inspection reports. The information is reviewed to insure compliance with state and federal building and medical codes, for performing on-site inspections during actual construction phase, and to provide history of all building construction and remodeling projects.

RETENTION: Retain active in office on paper. Microfilm after final inspection and maintain film in office for life of building. Destroy when building is demolished.

(Note: Microfilm subject to archival screening prior to disposal.)

(Note: Previous record series number was HEA-132)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Licensure & Certification</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1131</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-183. AUDITS, CONTROLLED SUBSTANCE REGISTRANTS:

07-039

This series is arranged alphabetically by registrant, then chronologically and contains audits of drug records. Information may include: registrant name, audit date, prescription numbers, patient name, prescription date, drug code, and auditor's comments. This record series is maintained to comply with federal regulation requiring audits of prescription drugs to detect possible problems.

RETENTION: Retain 2 years in office, then transfer to storage for 3 years. Destroy after 5 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-133)

DOH-184. BONDS:

07-039

This series is arranged alphabetically by facility and contains a copy of bonds as surety for nursing homes that handle money for residents. Information may include: name of facility or operating group, value of bond, bonding company name, effective date(s) of the bond, and copies of audit reports. This record series is maintained for documentation purposes. The Department of Social Services uses copies of this information when conducting audits of the nursing homes.

RETENTION: Retain bonds current in office, then transfer to storage for 3 years. Destroy 3 years after expired.

Retain audit reports 3 years in office, then destroy.

(Note: Consider microfilming the bonds to provide vital record protection.)

(Note: Previous record series number was HEA-134)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Licensure & Certification</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1131</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-185. CLOSED FILES - MEDICAL FACILITIES:

07-039

This series is arranged alphabetically by type and contains information on licensed and/or federally certified health care providers or suppliers, and facilities surveyed under contract, which have discontinued or closed their business. Information may include, but is not limited to: application for license, application for federal participation, survey documents, statements of deficiencies, and plan of correction. This record series is maintained for reference purposes and for a history in the event it reopens.

RETENTION: Retain 1 year in office, then transfer to storage for 4 years. Destroy after 5 years.

(Note: Previous record series number was HEA-135)

DOH-186. CLOSED LABORATORY FILES:

07-039

This series is arranged alphabetically and contains information on laboratories which have discontinued or closed their business. Information may include, but is not limited to: name, address, name of administrator or owner, inspection forms, list of deficiencies, corrective action plan, correspondence, and list of last persons employed in the laboratory. This record series is maintained for reference and for history of the laboratory in the event that it attempts to reopen.

RETENTION: Retain 1 year in office, then transfer to storage for 4 year. Destroy after 5 years.

(Note: Previous record series number was HEA-136)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Licensure & Certification</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1131</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-187. COMPLAINTS, MEDICAL FACILITIES:

07-039

This series is arranged chronologically by facility and contains correspondence, complaint logs, and Nurses Aides Abuse Case Files. Correspondence is received from either the general public, other agencies or initiated by the program concerning problems with various South Dakota Health Care Facilities. Those not facility specific are filed under miscellaneous complaints. Information may include: nature of the complaint, related correspondence, investigation of the allegation, conclusion of the investigation, and related materials. Complaint Logs contain a chronological listing of general types of facilities of all complaints received by the department related to medical facilities. Information may include: control number assigned for complaint management system, facility, nature of complaint, whether valid, referrals, and disposition of complaint. They are used by the department to determine if a complaint is substantiated, and, if so, to make corrective action; to determine the possibility of deficiency trends developing in certain facilities, and for federal audit purposes. Nurses Aides Abuse Case Files are arranged alphabetically and contain correspondence received from nursing facilities. Information may include: letters from facilities, individuals, or agencies, outlining allegations of abuse, neglect or misappropriation by a certified Nurses Aides, investigation of the allegations, conclusion of the investigation, statements from witnesses, copies of court records about charges filed and convictions, letters to the facilities and the Nurses Aides involved, and letters to the South Dakota Board of Nursing about Nurses Aides. These records are used by the department to make a decision about placing information on the Nurses Aides Registry maintained by the South Dakota Board of Nursing and for federal audit purposes.

RETENTION: Retain 3 years in office, then transfer to storage for 2 years. Destroy after 5 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-137)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Licensure & Certification</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1131</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-188. CORRESPONDENCE, HCFA:

07-039

This series is arranged chronologically and contains both copies of letters and memorandums sent to and the originals of letters and memorandums received from the Health Care Financing Administration (HCFA). This record series is used for occasional reference and documentation.

RETENTION: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: When litigation, claims, or audits are complete maintain for an additional 3 years, then destroy.)

(Note: Previous record series number was HEA-138)

DOH-189. DIRECTORY, LICENSED AND CERTIFIED FACILITIES:

07-039

This computer generated directory published quarterly by the department is arranged alphabetically and contains lists of hospitals, nursing homes, and other licensed and certified facilities/suppliers in the state. Information may include, but is not limited to: facility name, address, administrator or contact person, licensure classification, number of beds, provider number, and other related data. This record series is maintained for quick reference to names and addresses of health facilities and personnel. The superseded directories are microfilmed and maintained for historical reference purposes.

RETENTION: Retain current in office. Microfilm superseded or obsolete directories and maintain film permanently.

(Note: Previous record series number was HEA-139)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Licensure & Certification</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1131</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-190. DRUG DESTRUCTION RECORDS:

07-039

This series is arranged chronologically and contains a list of drugs destroyed by each registrant in South Dakota. Information may include: registrant identification, drugs destroyed list, method of destruction, and signature of witness and person in charge of destruction process. This record series is maintained to document the destruction of controlled substance drugs, for reference as background information, investigation reports, and for federal audit purposes.

RETENTION: Retain 2 years in office, then transfer to storage for 3 years. Destroy after 5 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-140)

DOH-191. FDA INSPECTION REPORTS:

07-039

This series is arranged alphabetically and contains the report generated as a result of the inspection of mammography machines conducted under contractual arrangement with the Food and Drug Administration (FDA). Information may include: name of facility, date of inspection, results of inspection, and correspondence. This record series is maintained for compliance purposes.

RETENTION: Retain copies of last two surveys in office. Destroy superseded or obsolete.

(Note: Previous record series number was HEA-141)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Licensure & Certification</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1131</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-192. FIRE INCIDENT REPORT LOGS:

07-039

This series is arranged chronologically and contains information on fires which occur in any medical facility. Information may include: date of fire, cause, extent of damage, injuries, and possible preventative practices. This record series is maintained to help prevent similar fires in the future, and for federal reporting when there has been a fire related death.

RETENTION: Retain the full log 5 years in office. Destroy 5 years after last entry.

(Note: Previous record series number was HEA-142)

DOH-193. INSPECTION REPORTS, X-RAY EQUIPMENT:

07-039

This series is arranged alphabetically by city and type of facility and contains medical radiographic and dental X-ray equipment inspection reports. The inspections are done every three years. If the facility has a history of deficiencies the inspections are repeated more frequently. The information is recorded on Facility, Radiographic, Fluoroscopic, and Dental Survey report forms. Information may include: date, equipment location, equipment identification, radiation protection evaluations, deficiencies, recommendation for repairs or adjustments, and date and type of adjustment made. These inspections are required by federal and state regulations and are maintained to document that the inspections have been performed.

RETENTION: Retain last two inspections. Destroy previous inspections as they are replaced.

(Note: Previous record series number was HEA-143)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Licensure & Certification</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1131</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-194. INVESTIGATION REPORTS, CONTROLLED SUBSTANCES:

07-039

This series is arranged chronologically and contains investigation reports concerning controlled substance registrants and individuals. Information on the investigation reports include: name, address, telephone number, suspected problems noted, investigation results, corrective actions suggested, follow-up investigations, and any other related information. This record series is maintained to document the investigation process and to initiate possible further action by this division.

RETENTION: Retain 3 years in office, then transfer to storage for 2 years. Destroy after 5 years.

(Note: Previous record series number was HEA-144)

DOH-195. LABORATORY FILES:

07-039

This series is arranged alphabetically by town and facility within each town and contains information regarding each laboratory. Information may include: application for certification, survey report forms, statement of deficiencies, plan of corrections, transmittals, and correspondence. Certification files serve as a history of the laboratory's ability to meet federal requirements, and for federal audit purposes.

RETENTION: Retain 5 years in office, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-145)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Licensure & Certification</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1131</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-196. LICENSE FILES, X-RAY FACILITIES:

07-039

This computer series is arranged by facility type and serves as the central depository for licensing and registration information for all medical and dental facilities X-ray equipment. Information includes, but is not limited to: name and address of facility, county, type of practice, type of equipment, manufacturer's name, serial number, license number issued, issue date, and expiration date. The information is maintained on computer to document the license of X-ray equipment and to ensure compliance with adopted standards.

RETENTION: Retain current information on computer. Destroy superseded or obsolete.

(Note: Hard copy master log maintained for reference.)

(Note: Previous record series number was HEA-146)

DOH-197. MAMMOGRAPHY CERTIFICATION FILES:

07-039

This series is arranged alphabetically by town and contains information regarding the certification for Medicare. Information may include: application for Medicare participation, survey documents, statements of deficiencies and plans of correction, Medicare/Medicaid certification, transmittal, and correspondence. This record series is maintained for the administration of the Medicare program and to monitor mammography suppliers participating in the Medicare program prior to 10-01-94, when the authority for certification of these facilities was transferred from Medicare to FDA.

RETENTION: Retain 1 year in office, then transfer to storage for 2 years. Destroy after 3 years.

(Note: Previous record series number was HEA-147)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Licensure & Certification</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1131</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-198. MEDICAL FACILITIES FILES:

07-039

This series is arranged alphabetically by town and facility type and serves as the central depository for all licensing and/or certification information for all facilities licensed or certified by this agency, and those facilities under contractual agreements with the agency. Licenses and/or certificates are renewed annually. Each file is divided into five sections:

- 1) The Licensure Section includes: applications, copies of lease agreements, management contracts, sales contracts, licenses issued to the facility, and correspondence.
- 2) The Certification Section includes: application for participation in Title 18/Title 19, survey report form, statement of deficiencies and plan of correction, Medicare/Medicaid certification and transmittal, and correspondence.
- 3) The Life Safety Code Section includes: inspection and correspondence.
- 4) The Proposes Construction Section includes: plans, correspondence relating to plans and specifications of proposed construction, incidental drawings, and physical plant policies.
- 5) Accreditation Reports Section includes: copies of accreditation reports submitted by the facilities including physical plant, laboratory and ancillary services; focused reviews; correspondence relating to accreditation for deemed status for licensing; and Medicare certification. This record series is maintained to document compliance with rules and regulations concerning the license, certificates, or contractual agreements and for audit purposes.

RETENTION: Retain 2 years in office, then transfer to storage for 3 years. Destroy after 5 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

Retain Medicare/Medicaid certification and transmittal sheets for the length of time the facility is certified.

Retain Physical Plant related material for the life of the building on microfilm.

Retain last two Accreditation reports in office, then transfer to storage for 3 years. Destroy after 5 years.

(Note: Previous record series number was HEA-148)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Licensure & Certification</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1131</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-199. NATIONWIDE EVALUATION OF X-RAY TRENDS (NEXT) SURVEYS:

07-039

This series is arranged alphabetically by survey and contains South Dakota's portion of Nationwide Evaluation of X-ray Trends (NEXT) for federal survey protocols. Information may include: facility data, equipment data, technique data, exposure data, beam data, and processing data. This information is maintained to document South Dakota's portion of nationwide surveys and for review by the Governor's clearinghouse for surveys questionnaires.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Previous record series number was HEA-149)

DOH-200. POLICY INTERPRETATION, FEDERAL:

07-039

This series is arranged chronologically and contains correspondence sent to and received from federal agencies regarding interpretation of federal policies and procedures. This information is used for documentation and for occasional reference purposes.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Previous record series number was HEA-150)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Licensure & Certification</u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1131</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-201. POLICY INTERPRETATION, STATE:

07-039

This series contains correspondence sent to and received from the Board of Nursing, the Board of Pharmacy, and the Department of Social Services regarding interpretation of policy and procedures. Information formats include: correspondence, minutes of meetings, and newsletters. This record series is used for documentation and for occasional reference purposes.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Previous record series number was HEA-151)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Licensure & Certification</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1131</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-202. PROFICIENCY EXAMINATION RESULTS, H.E.W.:

07-039

This confidential series is arranged chronologically and contains results of Health, Education, and Welfare proficiency examinations, which have been administered to South Dakota laboratory personnel. These federal examinations are no longer given, however the Health Department is required, to maintain the examination results for the individual's entire career. Information for each individual includes: name, address, examination date, examination score, and related comments. This record series is maintained to document the skill level of persons working in South Dakota health laboratories, for reference to insure that each individual is qualified to work at the level for which each was hired, and to provide verification of examination results to other State Health Departments upon request.

RETENTION: Retain 40 years in office, then destroy.

(Note: Previous record series number was HEA-152)

DOH-203. PROFICIENCY TESTING FILES, BLOOD BANK:

07-039

This series is arranged alphabetically by town and facility within each town and contains reports on proficiency testing surveys for blood banking conducted in medical facilities. The information, maintained for reference, is reviewed by surveyors prior to making recommendations to Health Certification Facility Agency (HCFA) on sanctions to be taken against a laboratory that fails to achieve a satisfactory grade. This information may also be reviewed by Food and Drug Administration (FDA) or HCFA representatives in the event of a suspected transfusion reaction that leads to patient injury or death.

RETENTION: Retain 5 years in office, then destroy.

(Note: Previous record series number was HEA-153)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Licensure & Certification</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1131</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-204. PROFICIENCY TESTING FILES, GENERAL:

07-039

This microfilm series is arranged alphabetically by town and facility within each town and contains proficiency testing survey results for the specialties of chemistry, bacteriology, immunology, and hematology. Information, maintained for reference, is reviewed by surveyors prior to making recommendations to the Health Certification Facility Agency (HCFA) on sanctions to be taken against a laboratory for failure to attain a passing grade on the proficiency testing surveys.

RETENTION: Retain 2 years in office, then destroy.

(Note: Previous record series number was HEA-154)

DOH-205. QUARTERLY REPORTS, HCFA:

07-039

This series is arranged chronologically and contains copies of quarterly reports sent to the United States Department of Health and Human Services and the South Dakota Department of Social Services regarding Health Care Financing Administration (HCFA) Title 19 funds. Reports include: Quarterly Expenditure Reports, Workload Reports, Cumulative Expenditure Reports, Staffing and Training Reports, and Home Health Agency Reports. This record series is maintained for reporting program activities and expenditures, and for federal audit purposes.

RETENTION: Retain 4 years in office, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-155)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Licensure & Certification</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1131</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-206. RADIATION INFORMATION FILES:

07-039

This series is divided by topic and contains radiation information used during radiation investigations. Information may include, but is not limited to: Nuclear Regulatory Commission, Federal Emergency Management Act (FEMA), Conference of Radiation Control Program Directors (CRCPD), Food and Drug Administration (FDA) and Radon gas correspondence, testing procedure manuals, and radiation research data. This record series is maintained for reference to determine background statistics and testing procedures to use during investigations.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Previous record series number was HEA-156)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Licensure & Certification</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1131</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-207. REFERENCE FILES, PHYSICAL PLANTS:

07-039

This series is arranged alphabetically by topic and contains reference material used during facility inspections concerning physical plant construction and remodeling projects. Information may include: electrical specifications and evaluations, copies of the state plumbing codes, copies of ventilation codes, sanitation guidelines, hospital plan rules and regulations, South Dakota Annual Hospital Reports, Medical Health Facilities Supplemental to the State Health Plan, Annual Nursing Home Reports, and fire evaluation manuals. This record series is maintained for convenience of reference about each subject during facility inspections.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Cull files at least once each year to avoid a build-up of superseded or obsolete material.)

(Note: Previous record series number was HEA-157)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Licensure & Certification</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1131</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-208. REFERENCE FILES, RADIOLOGY:

07-039

This series is arranged alphabetically by topic or subject and contains reference information used by the radiation source licensing program personnel. Information may include, but is not limited to: federal manuals, other states X-ray manuals, federal radiology research reports, new X-ray equipment brochures, rules and regulations for South Dakota's radiation source inspections, training manuals for new X-ray inspectors, guidelines for inspections, and continuing education course materials. This record series is maintained for convenience of reference about each subject during radiation source inspections.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Cull files at least once a year to avoid build-up of superseded or obsolete material.)

(Note: Previous record series number was HEA-158)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Licensure & Certification</u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1131</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-209. REFERENCE FILES, SUBSTANCE CONTROL:

07-039

This series is arranged alphabetically by topic or subject and contains reference information used during the daily operation of the pharmacy inspection program. Information may include, but is not limited to: continuing education courses available, drug overuse, drugstore effects, management institute, copies of pharmacy program rules and regulations, and pharmacy closings. This record series is maintained for convenience of reference about each subject during pharmacy inspections.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Cull files at least once a year to avoid build-up of superseded or obsolete material.)

(Note: Previous record series number was HEA-159)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Licensure & Certification</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1131</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-210. REGISTRATION FILES, CONTROLLED SUBSTANCE REGISTRANTS:

07-039

This series is arranged alphabetically and contains registration information for each registrant in South Dakota. Information may include: name, address, first application date, annual renewal applications, professional license number, investigation reports, letter of reprimand or commendation, registration number (if approved), and other related materials. This record series is maintained to document the registration of all registrants operating in South Dakota, and for annual registration renewal purposes.

RETENTION: Retain active in office. Transfer inactive to storage for 4 years. Destroy 4 years after inactive.

(Note: Previous record series number was HEA-160)

DOH-211. RESIDENTIAL LIVING CENTERS:

07-039

This ring binder series is arranged alphabetically by town and contains Residential Living Centers' registrations received by calendar year. Information may include: name of the Residential Living Center and correspondence. This record series is maintained for inspection purposes.

RETENTION: Retain 3 years in office, then transfer to storage for 2 years. Destroy after 5 years.

(Note: Previous record series number was HEA-161)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Licensure & Certification</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1131</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u> <u>NUMBER</u>

DOH-212. STATE AGENCY EVALUATION PROGRAM (SAEP):

07-039

This semiannual series is arranged chronologically and contains state agency evaluation program reports and the required Health Department responses regarding the operation of Medicare/Medicaid programs. This record series is maintained for reporting to the Health Care Financing Administration, and to document compliance with contractual agreements with HCFA and the South Department of Social Services.

RETENTION: Retain 4 years in office, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-162)

DOH-213. SURVEY LOGS:

07-039

These weekly binder logs are arranged chronologically, then by facility name and are used to monitor the status of surveys conducted by licensure and certification personnel on health care and medical facilities. Facilities may include: hospitals, home health care agencies, rural health clinics, CLIA laboratories, and Title XIX agencies. Information may include: name of surveyor, date of inspection, rough drafts, and final survey reports. This record series is maintained to document the status of health care facility surveys.

RETENTION: Retain current on database. Completed surveys are downloaded to a hard copy and filed in office with facilities files.

(Note: Previous record series number was HEA-163)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Licensure & Certification</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1131</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-214. X-RAY AND RADIATION INSPECTION EQUIPMENT LOGS:

07-039

This computer inventory and printouts are arranged chronologically and lists radiation inspection equipment received from the federal government and state owned equipment. The equipment is used for inspection of X-ray and other radiation producing equipment. This record series is maintained for program reference and to verify equipment currently in the department's possession.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Previously this entire file was removed by federal auditors at the time of federal audits.)

(Note: Previous record series number was HEA-164)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Public Hlth Prepare & Response</u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1209</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-215. ADMINISTRATIVE REFERENCE FILES:

07-039

This series is arranged alphabetically by subject matter and contains information used in the daily administration of the program or office. Information may include, but is not limited to: budget, equipment, inventory, legislation, organization/association, general correspondence and property management information; monthly reports; research materials; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; and other related information. This record series is maintained for reference purposes.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Cull files on a yearly basis to avoid build-up of superseded or obsolete materials.)

DOH-216. CORRESPONDENCE, FEDERAL GRANT:

07-039

This series is arranged chronologically and contains both copies and originals of letters and memorandums sent to and received regarding all bioterrorism grants. This records series is used to answer all questions from the federal government regarding the bioterrorism activities.

RETENTION: Retain 2 years in office, then transfer to storage for 3 years. Destroy after 5 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was HEA-336)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT: Health
DIVISION: Health Systems Develop & Reg
OFFICE: Public Hlth Prepare & Response
PROGRAM: _____
RECORDS OFFICER: Darcy McGuigan
RM CUSTOMER #: 1209

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-217. DIRECTORY--MEDICAL FACILITIES, STAFF,
VOLUNTEERS, & RESOURCES:

07-039

This paper and database series is arranged alphabetically and by location and contains updated information regarding various groups that could help in a time of a disaster. Information may include: names, addresses, telephone numbers, occupations, contact people, and facility name. An updated computer spreadsheet is kept as well as a hard copy in the file. This record series is used in order to contact necessary entities in case of a disaster as directed by the grant.

RETENTION: DATABASE: Retain information current. Delete superseded or obsolete information.

PAPER: Retain 1 year in office, then destroy.

(Note: Previous record series number was HEA-337)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT: Health
DIVISION: Health Systems Develop & Reg
OFFICE: Public Hlth Prepare & Response
PROGRAM: _____
RECORDS OFFICER: Darcy McGuigan
RM CUSTOMER #: 1209

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-218. HOSPITAL PREPAREDNESS RECORDS:

07-039

This computer and paper series is arranged alphabetically and contains facility bioterrorism plans of action should a disaster take place in their location. Information may include: responsibilities of emergency facilities/groups, what protocol to follow for each, where patients would be housed, who would alert medical responders, and where emergency equipment is housed and the process of accessing it. This record series is used for reference purposes.

RETENTION: Retain current plans and need assessments in office. Destroy superseded or obsolete.

(Note: Previous record series number was HEA-339)

DOH-219. NEEDS ASSESSMENTS AND LDAP MATERIALS:

07-039

This series is arranged chronologically and contains documents received from each facility regarding information on needs assessments and the Lightweight Directory Access Protocol (LDAP), which is a computerized health directory. Information may include: specific needs within a community, who to contact, and what responsibilities belong to whom. This record series is used to insure the community, and state and federal governments work together in case there is bioterrorism action taken.

RETENTION: Retain 2 years in office, then transfer to storage for 1 year. Destroy after 3 years.

(Note: Previous record series number was HEA-340)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT: Health
DIVISION: Health Systems Develop & Reg
OFFICE: Public Hlth Prepare & Response
PROGRAM: _____
RECORDS OFFICER: Darcy McGuigan
RM CUSTOMER #: 1209

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-220. PUBLIC HEALTH PREPAREDNESS & RESPONSE, SPECIAL PROJECTS:

07-039

This computer and paper series is arranged chronologically and contains information on projects involving the National Disease Surveillance System (NEDSS), West Nile, Small Pox, and Tele Video. Information may include: detailed list actions to be taken, results of specific actions, medical resource directory, what protocols to follow, what vaccine is available, plan of action for vaccinate, data on disease surveillance, information on developing and maintaining hardware and software, network and data standards, resource directory of people/facilities to alert in case of bioterrorism activity, where equipment should be placed and how they function, and plans on how hospitals will respond to an alert. This record series is maintained for reference and as support for actions taken.

RETENTION: Retain 2 years in office, then transfer to storage for 3 years. Destroy after 5 years.

(Note: Previous record series number was HEA-341)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Rural Health</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1132</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-221. ADMINISTRATIVE REFERENCE FILES:

07-039

This series is arranged alphabetically by subject matter and contains information used in the daily administration of the program or office. Information may include, but is not limited to: budget, equipment, inventory, legislation, organization/association, general correspondence and property management information; monthly reports; research materials; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; and other related information. This record series is maintained for reference purposes.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Cull files on a yearly basis to avoid build-up of superseded or obsolete materials.)

DOH-222. DEMOGRAPHICS STUDIES FILES:

07-039

This series is arranged alphabetically by town and contains demographic information for South Dakota Communities. Information may include: studies of human characteristics as they pertain to size, growth, density, distribution, health care facilities, and health care professionals. This record series is maintained for reference when answering questions regarding the need for health care facilities or health care professionals.

RETENTION: Retain 3 years in office, then destroy.

(Note: Subject to archival screening prior to disposal.)

(Note: Previous record series number was HEA-165)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Rural Health</u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1132</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-223. HEALTH PROFESSION SHORTAGE DETERMINATION:

07-039

This series is arranged geographically and alphabetically by topic and contains information on the location of health professionals within South Dakota. Information may include: federal health professions student loan forgiveness program information, health manpower shortage area designations, physician's assistant program participant information, and community health services program and project information. This record series is maintained for reference to determine areas in South Dakota in need of health personnel and is used as the basis for reimbursing physicians for tuition in specified areas where shortage exist.

RETENTION: Retain 5 years in office, then destroy.

(Note: Subject to archival screening prior to disposal.)

(Note: Previous record series number was HEA-166)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Rural Health</u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1132</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-224. PRIMARY CARE:

07-039

This series is arranged by topic and contains varied information related to development of primary health care in rural areas of the state. Specific Information may include: the Cooperative Agreement for Primary Care--correspondence, federal directives, grant administration materials; Robert Wood Johnson Practice Site Initiative--need assessment information, Regional Coordinated Care Network (RRCN) material, grant development/administration materials, and miscellaneous and resource booklets. This record series is maintained for reference purposes.

RETENTION: Retain 2 years in office, then transfer to storage for 3 years. Destroy after 5 years.

(Note: Subject to archival screening prior to disposal.)

(Note: Previous record series number was HEA-167)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Health</u>
DIVISION:	<u>Health Systems Develop & Reg</u>
OFFICE:	<u>Rural Health</u>
PROGRAM:	
RECORDS OFFICER:	<u>Darcy McGuigan</u>
RM CUSTOMER #:	<u>1132</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOH-225. RURAL HEALTH TELEMEDICINE:

07-039

This series is arranged by topic and contains information relative to the state telemedicine initiative, including the Federal Office of Rural Health Policy demonstration grant program. Information may include: grant development /administration materials, information collected from literature, correspondence, and evaluation forms. The evaluations forms have been collected from the project demonstration sites.

RETENTION: Retain 2 years in office, then transfer to storage for 2 years. Destroy after 4 years then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken..

(Note: Subject to archival screening prior to disposal.)

(Note: Previous record series number was HEA-168)

DOH-226. RURAL HEALTH SPECIAL PROJECTS:

07-039

This series is arranged by topic and contains information on various projects the office has undertaken in support of rural health development. Information may include: surveys, the Charting A Healthy Future Program, the Rural Hospital Initiative, the EACH/RPCH program, the Building a Healthy Future Program, budget and financial accounting materials, EMS materials, general correspondence, and strategic planning information. This record series is maintained for administrative purposes.

RETENTION: Retain 2 years in office, transfer completed projects to storage for 3 years. Destroy after 5 years.

(Note: Subject to archival screening prior to disposal.)

(Note: Previous record series number was HEA-169)