



Local Health Department Records and Retention Documentation Handbook

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Introduction and Considerations for Document Retention

Introduction

Record keeping is an important part of administrators and employees jobs at local health departments. This guide is to serve as a tool for maintaining records, information on reporting requirements under Kansas Law, and provide training resources to do it effectively.

How to Find Records and Schedules

Kansas Historical Society

The Kansas Historical Society (KHS) provides training and records of all retention schedules for local and county governments on their website here.

Kansas Association of Local Health Departments

KALHD provides a manual available on our website for member health departments to access all training and schedules. This manual is updated yearly by staff and LHDs.

Regulations and Laws Pertaining to Records

Government Records Presentation Act and Kansas Open Records Act

Under the Government Records Preservation Act (K.S.A. 45-401 et seq), all local and county governments are required to maintain records and reporting guidelines outlined in the statute. In addition, the Kansas Open Records Act requires that all records must be available for those who request documents in an applicable time frame. For more information on the statutes, you [can visit the link here.](#)

Record Management

Roles and Responsibilities

If applicable, all health departments should keep a record of roles and responsibilities within the organization and designate a member of the staff to keep records current. As a health department you are responsible for:

- Ensuring records are well managed, regardless of format
- Transferring of records as necessary
- Establishes record schedules, record keeping, and requesting of new records as appropriate
- Ensure compliance for record keeping procedures

- Handles destruction of records and storage
- Developing disaster procedures for record storage
- Administering records and compliance with the Kansas Open Records Act

Templates and Forms

The Kansas Historical Society has provided templates for local health departments on record keeping. Links to these forms are provided below.

- [State Archives Transfer Form](#) (download)
- [Records Retention Schedule Revision Template + Instructions](#)
- [Electronic Recordkeeping Plan Template](#) (download)
- [Records Inventory Form](#)

Training

Training is an important part of keeping records and staff up to date on how to retain records. KHS has provided various educational trainings on record retention. LHDs can also schedule a health department specific training with KHS staff.

[Health departments can schedule an in-person training on the following topics:](#)

- Introduction to Records Management
- Creating and Revising Retention & Disposition Schedules
- Shared Drive Clean-Up
- Disaster Preparation & Recovery
- Transferring Records to the Archives
- Electronic Recordkeeping Plan Preparation

In addition to the in-person trainings, the following downloadable trainings are available:

- [Municipal Records Management](#)
- [Municipal Records Retention and Storage](#)
- [Government Records and Preservation Acts](#)
- [Introduction to Records and Information Management](#)
- [Local Records Management Manual](#)

Additional courses on record retention:

- [Vital Records and Vital Statistics](#) (KS Train)
- [Records Management Training Program](#) (US National Archives)
- [Policy for Records Management](#) (Department of Health and Human Services)
- [How Do Health Departments Create Regulations, Policies, and Guidance Documents](#) (KS Train)

Management Manual and Best Practices

The KHS also provides various manuals on managing records and a collection of current administrative regulations and statutes provided by the Kansas Legislature. You can view the chapters individually below or the manual by visiting [the link here](#).

- [Agency Records Officers](#)
- [State Records Board](#)
- [Records Management and the Law](#)
- [Record Surveys](#)
- [Records Retention and Disposition Schedules](#)
- [General Retention and Disposition Schedules](#)
- [Agency Retention and Disposition Schedules](#)
- [State Records Center Procedures](#)

You can also find information on assistance on records management on [KHS' website here](#).

Federal Regulations

In addition to state regulations, it is important to determine if your LHD falls under any federal agency jurisdiction from grant management or funding.

HIPAA

All public patient records fall under HIPAA which is a national standard to protect medical records of patients in the United States. In addition to protection, it also gives patient's rights to access their medical information. [The HHS has a policy statement for HIPAA that can be found here.](#)

KALHD also provides a HIPAA privacy rule handbook for health departments [on our website here](#).

Below are a few links to assist with developing retention schedules for federal regulations.

[Department of Health and Human Services Policy for Records Management Landing Page for National Archives](#)

HIPAA Awareness (KS Train #1047429)

HIPPA Allowable Disclosures and Safeguards (KS Train #1072478)

HIPPA Right to Access and Documentation (KS Train #1072486)

New Administrator Considerations

It is important for all new administrators to understand what documents need to be retained. In addition, all new health department administrators have a range of resources available at their disposal to learn how to do their jobs more effectively.

Reporting and Retention Introduction

According to the Kansas Historical Society, a records retention and disposition schedule are key in a solid records management program. The LHD administrator is responsible for maintaining compliance with key statues and the management, preservation, and disposition of government documents during their tenure. This handbook provides more information on the schedule and duties of each health departments.

There are two types of schedules that LHDs are required to have. They include:

General Records Retention and Disposition Schedule – includes guidelines for record series maintained by most state agencies. This includes but is not limited to travel vouchers, meeting minutes, and employee personnel records and accounting records.

Agency Records Retention and Disposition Schedule - addresses unique agency records that should have a specific records retention and disposition.

Both types of records can be stored either electronically or in file cabinets in the LHD main office. In addition, both schedules should provide the following information:

- Record series title and description
- Minimum retention period
- Final disposition requirements
- Access restrictions
- Vital record identification

All current recommendations for retention schedules are listed at the [Kansas Historical Society's website here](#). You can search by agency code or name.

Other Important Links

In addition, KALHD provides a new LHD Administrator Manual with key links and information on public health in Kansas that is updated yearly. You can find that handbook [on our website here](#).

Revisions and Electronic Records

Local health departments can revise schedules on a need-by-need basis. In addition, electronic records are also recommended for easier and preparedness purposes.

Creating or Revising Schedules for Records

On an agency level, LHDs can amend record and retention schedules. The schedules should reflect the agency programs, business practices, and related recordkeeping needs of the organization. You can view more information on [changing schedules here](#).

As a reminder, all processes should be reviewed every 3 years for clarity and updates.

Electronic Records

Electronic records are an effective tool for local health departments to store more records on hard drives or computers. The Kansas Historical Society has provided tools for LHDs to use to create electronic records.

- [Scheduling](#)
- [Recordkeeping Template](#) (download)
- [Electronic Records Management Guidelines](#)
- [Guidelines for Managing Records on Kansas Government Agency Websites](#)

Medicaid and Medicare Services

For local health departments that take Medicaid and Medicare patients, it's important to understand when and where records need to be retained along with specific regulations that are important to know. This section will cover various provisions on these services.

State Regulations & KanCare

KDHE provides updates to the Kansas Medical Assistance Program (KMAP) website. There are various resources for regulations, manuals, and training for providers.

- [KMAP Provider Manuals by Service Type](#)
- [KMAP Provider Forms](#) (including claims, home health, consent, etc.) (log in required)
- [Provider Listing](#)
- [KMAP Reference Code Listing](#) (log in required)

The state of Kansas provides various training materials for KanCare and Medicaid services in Kansas. [The sessions currently on the website that may interest providers include:](#)

- Medicaid Overview
- Early & Periodic Screening, Diagnosis, and Treatment Mandate
- Medicaid Eligibility
- Home and Community Based Services
- Medicaid and Children's Health Insurance Program (CHIP)
- History of KS Medicaid and Managed Care
- [Additional Training Resources](#) (log in required)

CMS and Federal Regulations

For providers who actively participate in centers for Medicare and Medicaid Services (CMS) activities, it is important to understand what records and information is not only available to patients but is retained on an appropriate scale. This section provides information regarding record retention for CMS.

Records to provide to CMS

File Type	Description of File	What to Include	Where to Send	Retention
Orders	Written and electronic copies	National Provider Identifier (NPI)	Medicaid contractors/CMS	7 years
Certifications	Written and electronic copies	National Provider Identifier (NPI)	Medicaid contractors/CMS	7 years
Referrals	Written and electronic copies	National Provider Identifier (NPI)	Medicaid contractors/CMS	7 years
Prescriptions	Written and electronic copies	National Provider Identifier (NPI)	Medicaid contractors/CMS	7 years
Requests for Payment for Part A or B Services, items, or drugs	Written and electronic copies	National Provider Identifier (NPI)	Medicaid contractors/CMS	7 years

Upon request of the documents from a contractor or CMS directly, the provider must provide the following documentation:

- Physician Orders
- Face to Face Evaluations
- Therapy Notes
- Assessment Notes
- Correspondence to the Patient/From the Patient
- Photographs or detailed description of services performed (both)
- Additional documentation to support medical necessity of the intervention/procedure

All providers must comply with federal and CMS regulations and statues. Failure to submit requests on the above documents may result in the revocation of Medicare and Medicaid provider services or noncompliance discipline.

For more information about these requirements, you can visit www.cms.gov or view the CMS training [manual here](#).

Local Health Department Record Retention Schedules

Included below are current recommendations and/or requirements for record retention for local health departments in the state of Kansas. For additional information, you can visit the Kansas Historical Society website here.

BILLING

<i>Task</i>	<i>Description</i>	<i>Retention</i>	<i>Disposition</i>
Medicaid, Medicare, and Insurance Billing	HCFA 1500s, Remittance Advices received with payment, copies of medical/medicare cards, and any other documentation pertinent to these claims	5 years	Destroy
General Billing Records	Guidance for aging, homecare, and CDDOs	7 years	Destroy
Payable & Receivable Records	n/a	3 years	Destroy
Telephone Billing Records	Copies of computer billings received for telephone service.	3 years	Destroy
Home Care Based Services Billings	Variety of documents dealing with Home Care Based Services billing sheets, contracted targeted case management (TCM) billings and invoices, staff and contractor billings.	7 years	Destroy

INFECTIOUS DISEASE

<i>Task</i>	<i>Description</i>	<i>Retention</i>	<i>Disposition</i>
Communicable Disease	Records and support documentation relating to communicable diseases in individual clients. (May include name, address, disease type, when and how contracted and treatment measures.)	If NOT treated - 2 calendar years, If treated - 10 calendar years OR 21st birthday, whichever is later	Destroy
TB Records	Records and support documentation relating to cases of Tuberculosis in individual clients. (May include name, address, disease type, x-rays, when contracted and treatment measures.)	If NOT treated - 2 calendar years; If treated - 10 calendar years OR 21st birthday, whichever is later	Destroy
Venereal Disease Records	Records and support documentation relating to venereal diseases in individual clients. May include name, address, disease type, when contracted and treatment measures.	If NOT treated - 2 calendar years; If treated - 10 calendar years OR 21st birthday, whichever is later	Destroy
Reports to the State Department of Health and Environment	Reports and supporting documentation regarding presence/incidents of, and surveillance on, communicable and venereal diseases in the county.	5 calendar years	Destroy

IMMUNIZATIONS

<i>Task</i>	<i>Description</i>	<i>Retention</i>	<i>Disposition</i>
Immunization Card Files & Consent Forms	Contains name, date, age, immunization type and consent form.	20 calendar years after last contact.	Destroy

GRANTS

<i>Task</i>	<i>Description</i>	<i>Retention</i>	<i>Disposition</i>
Grant Files	Applications, award letters, contracts, quarterly reports, fiscal reports, miscellaneous documentation	Current grant fiscal year (+) 5 previous fiscal years.	Destroy
Monthly & Quarterly Report Tallies and Activity Reports	Reports documenting totals of services provided and documentation of staff activities.	Paperwork used to compile report-keep until end of reporting year. Monthly Report and Activity Report - Permanent	Destroy
Previous Contract Documents	Any documents related to contracts no longer in use including applications, reports, or financial statements	5 years	Destroy

ORGANIZATIONAL

<i>Task</i>	<i>Description</i>	<i>Retention</i>	<i>Disposition</i>
Child Care Licensing	Records of registration and inspection. (May include license cards, facility files and facility assessments.)	5 years after close of facility	Destroy
Logs	Prescription, lab, pharmacy, or other logs kept for tracking purposes.	3 calendar years or 3 grant fiscal years if log is associated with grant funded program	Destroy
Phone Message Logs	Any type of hard copy system used for logging calls and messages.	6 months	Destroy
Budget	Documents used for the preparation of yearly Health Department budget. Final copy of budget provided to Health Department after budget is approved and published.	Retain until budget year is audited. Permanent	Destroy
Encounter Forms	Forms generated by the computer or copier for documenting services rendered.	12 months	Destroy

Task	Description	Retention	Disposition
Material Safety Data Sheets (MSDS)	Documents relating to the precautions taken for the safe handling of the various chemicals used in the routine operation of the facility	Retain until superseded or hazardous chemical is no longer on site.	Permanent
Policy & Procedure Manuals	Original copies of formal explanations of office policies and procedures issued in collective manual or individual statement formats.	Retain original copy permanently. When updated, originals being replaced should be kept.	Permanent
Adding Machine or Calculator Tapes	Master tapes produced on business machines during bookkeeping.	May be destroyed immediately unless required to document associated records; then retain in conjunction with those associated records.	Destroy
Credentialing Documentation	Documents relating to employee or contractor credentialing process. These records establish that all required Kansas statues have been met. Documents may include correspondence, evaluations, and credentials added during time of employment.	Retain until practitioner terminates employment plus 21 calendar years	Destroy
Utilization Review (UR) Forms	Initial and 90-day peer reviewed documents for community health center licensing. Reviews are performed on patient records to ensure that services are necessary, and resources are allocated properly.	6 Years	Destroy
Contracts	Any agreements with individuals or organizations	Retain until contract expires plus 5 years after conclusion of any court case	Destroy
Correspondence	Incoming and outgoing letters that form policy or set precedent	5 years then transfer to permanent storage	Permanent
Employee Personnel Files	Documents associated with employment including evaluations, certifications, etc.	Retain for employee tenure plus 3 calendar years	Destroy
Training Materials and Records	Any employee training records and training manuals	Retain until program is obsolete, then retain one copy of each training program	Destroy
EEO Plans	Documents related to compliance with EEO regulations	Permanent	Permanent
Imprest Fund	Documents relating to the administration and accounting of the imprest fund which allows an office to use a local bank account	3 years	Destroy
Insurance Policies	Documents such as insurance policy terms	Retain until canceled or expired plus 5 calendar years	Destroy
W-2 Tax Files	Copies of employee wages and tax statements	4 years - portions may be restricted	Destroy
Statements of Interest	Office copies of statements on substantial interest requested by the secretary of state's office	1 year	Destroy

Task	Description	Retention	Disposition
Leave Requests	n/a	5 years	Destroy
Legal and Public Notices	copies of statues, legislation, notes, etc.	until no longer useful	Destroy
Organizational Charts	n/a	3 years - transfer to permanent	Permanent
Records Management Records	n/a	Permanent	Permanent
Inspection files	n/a	5 years	Destroy

RECORDS & REPORTS

Task	Description	Retention	Disposition
Client Records	Medical records, including laboratory reports, of persons treated in local health care facilities. (Includes adult and child health, family planning, maternal health, and primary care.)	10 <i>calendar years after last contact</i> OR until 21 st birthday, whichever is later	Destroy
Animal Bite Reports	Animal bite reports, and any notation regarding contact with the owner or confinement of the animal.	If NOT treated - 2 calendar years; If treated - 10 calendar years OR 21 st birthday, whichever is later	Destroy
General Fiscal Reports	Copies of invoices, vouchers, purchase requisitions, quotes, copies of timecards, copies of paycheck stubs, copies of deposit slips and statements of money deposited.	Current calendar year (+) 3 previous calendar years.	Destroy
Job Descriptions	Copies of all job descriptions pertinent to Health Department staff positions.	Current description (+) last 3 updates.	Destroy
Patient Ledger Cards	Used prior to KIPHS system to keep track of money owed by individual clients for services rendered.	7 years.	Destroy
Audit Reports	Annual reports provided by Harvey County Auditors regarding the fiscal status of the Health Department	Permanent	Permanent
Consent for Release of Confidential Information Forms	Files relating to optional educational programs offered upon a patient's discharge, consisting solely of contact information (name, address and phone) and whether or not the patient opted to accept services.	Retain until no longer useful	Destroy

Task	Description	Retention	Disposition
HIPPA Compliance Records	Records created to comply with requirements of the Federal Health Portability and Accountability Act of 1996 (HIPAA) or created to document compliance with the Privacy Rule of the Act, which regulates treatment of Protected Health Information (PHI). Some or all the documents in this records series may be filed within Client Charts (and considered part of that records series), may be filed separately, or may be maintained in duplicates to copies filed as part of Client Charts.	6 years; when client charts are maintained, all HIPPA compliance records may be filed in charts of individual clients.	Destroy
Lab Ledger	Nurses' daily sheets, containing information on lab tests, kept mostly to ensure oversight and accountability. Information is duplicated in client's individual files.	Retain until no longer useful	Destroy
Accident Reports	Documents related to accidents occurring in, on, or around the county office's facility(ies).	5 years	Destroy
Accounts Payable Records	Documents related to payment for goods and services: vouchers, correspondence, invoices, ledger books and cards, etc.	3 years	Destroy
Accounts Receivable Records	Documents related to the collection of payments due the office: copies of invoices, correspondence, etc.	3 years	Destroy
Activity Report Records	Internal documents used to compile statistics on office activities, traffic reports, activity logs, etc.	2 years	Destroy
Annual & Special Reports	General and specific reports on office activities.	Retain until no longer useful, then transfer to permanent storage.	Permanent
Architectural Plans, Drawings, Maps, and Specifications	Records documenting the physical plant of the offices and/or buildings owned or occupied by the local government.	Retain until no longer useful, then transfer one copy to permanent storage and contact the local historical society for interest in retaining an extra copy.	Destroy
Banking Statements & Records	Any bank statements, deposit books and slips and cancelled checks	3 years	Destroy

Task	Description	Retention	Disposition
Budget files	Documents used in preparation of the budget and copies of budgets	Retain until audit is complete	Permanent
Maintenance Records	Documents associated with repairs or maintenance of buildings	3 years	Destroy - major renovation documents are permanent
Committee Files	Any records regarding activities, policies, and advisory committees	Permanent	Permanent

WIC

Task	Description	Retention	Disposition
Women, Infants, & Children (WIC) Program Case Files	All records and supporting documents that combine to create a case file. (May include name, address and income of recipient, correspondence, eligibility information, applications, voucher redemption information, etc.)	Current fiscal year plus 3 years	Destroy
WIC Program Records	Documents pertaining to the operation of this grant program, including program statistics, list of participants, visit logs, certification/eligibility documents, terminations records, vendor contracts, etc.	5 calendar years	Destroy

*Please note that these schedules are based on statute, other LHD record keeping, and individual research done by KALHD. This is not an extensive list and may not necessarily cover all document retention needed at your LHD. KALHD will keep this handbook updated yearly.

REPORTING SCHEDULES

Along with keeping records, many LHDs must also report them to the proper sources. Below are the reporting schedules and guidelines for most grant processes in Kansas.

Please note that all KDHE grants and program applications (state formula, PHEP, IAP, MCH, etc.) are due March 15 of that fiscal year.

Kansas Fiscal Year Dates

July 1 – Quarter 1 begins

October 1 – Quarter 2 begins

January 1 – Quarter 3 begins

April 1 – Quarter 4 begins

KDHE ATL Grant Applications & Reporting

March 15 – Applications Due

October 15 – 1st Quarter Report Due

January 15 – 2nd Quarter Report Due

April 15 – 3rd Quarter Report Due

July 15 – 4th Quarter Report Due

WIC Reporting

WIC Applications due on July 15

Due 15th of the month

Department of Health and Environment (KDHE) Guidelines and Reporting

This section covers grants, forms, and information pertaining to KDHE programs, including immunization, infectious disease, WIC, etc.

Guidance

- [Disease Reporting](#)
- [Preparedness - Bioterrorism](#)
- [Preparedness – Radiation and Chemical Spills](#)
- [Childcare Licensing](#)
- [EPI Hotline](#)
- [Health State Regulations](#)
- [WIC Homepage](#)
- [Infectious Disease Summaries and Reporting](#)
- [Lab Collection](#)
- [Aid to Local Document Library \(KGMS\)](#)
- [Templates from KDHE for local health departments](#)
- [Preparedness – Training Program](#)
- [State Licensure Forms](#)
- [340B and Medicaid Guidance](#)

State Websites and Management Systems

These information systems require login information for local health department employees. If you need access to the system, please contact your health department administrator.

- [Kansas Grant Management System \(KGMS\)](#)
- [KansasTrain \(KS Train\)](#)
- [Kansas Public Health Information \(KANPHIX\)](#)
- [Kansas Health Alert Network \(KS-HAN\)](#)
- Inventory Management and Tracking System (IMATS)
- EpiTrax
- Brushart
- WebIZ

Additional Resources

Helpful Links

[2021 HIPAA Privacy Rule Handbook](#) - Available on KALHD's website

[2022 New Leader Orientation Manual](#) – Available on KALHD's website

[Six Key Steps to Developing a Record Retention Policy](#)

[How to Craft an Effective Record Retention Policy – Healthcare Setting](#)

Helpful Websites

[Kansas Historical Society](#)

Helpful for finding specific statutes and regulations regarding record retention for government agencies in Kansas.

[Kansas Department of Health and Environment](#)

Helpful for finding templates, documents, and links to specific health related programs including immunizations, WIC, and grant information.

[Kansas State Library](#)

Helpful for learning more information on open records laws and creating retention schedules (while pertaining to libraries, this website has good information for all government agencies).

[Kansas Legislature](#)

Helpful for providing session updates on open records laws, as well as accessing open record statute language.

[Kansas Attorney General Public FAQ on Kansas Open Records Act \(KORA\)](#)

Public facing webpage featuring FAQs on the current open records act. Helpful for health departments to know what questions are frequent about records.

[Kansas Association of Counties \(KAC\) Open Records Fact Page](#)



Kansas Local Health Department “Black Book” Password Tracker Template

Provided by KALHD, this tracker can be used to keep track of organizational or personal log in information for various management systems on a state and local level. Included below are major management systems from Kansas, but health departments are encouraged to add as many websites as needed.

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Employee Name (If Applicable):

Health Department:

Management or Online System	Login Information (Email or Username)	Password (if applicable)
Kansas Grant Management System		
Kansas Train		
Kansas Public Health Information Network		
Kansas Health Alert (KS-HAN)		
Inventory Management and Tracking System		
EpiTrax		
Brushart		
WebIZ		
COVID-19 Vaccine Ordering Website (Shopify)		



Document Disposal Tracker Template

Provided by KALHD, local health departments can use this tracker to determine when document disposal occurs.
Can be modified based on health department preference.

Please remove this page when downloaded.