

Local Health Department Records and Retention Documentation Handbook

Updated February 2023

Table of Contents

**Introduction & Considerations for Document Retention 4**

1. Introduction
2. How to Find Records and Schedules
3. Regulations and Laws
4. Record Management Forms
5. Record and Retention Training
6. Management Manual & Best Practices for Retention
7. Federal Regulations

**Creating a Retention Schedule 7**

1. Introduction
2. Creating the Schedule

**New Administrator Considerations 8**

1. Reporting Introduction
2. Considerations

**Revisions and Electronic Records 9**

1. Electronic Record Keeping Tools
2. Creating or Revising Schedules

**Medicaid and Medicare Services 10**

1. State Regulations, KanCare, KMAP
2. CMS and Federal Regulations

**Local Health Department Record Retention Schedules 11**

1. Billing
2. Infectious Disease
3. Immunization
4. Grant Documents
5. General & Organizational Records
6. Reports
7. WIC

**Reporting Schedules 17**

1. Kansas Fiscal Year Dates
2. ATL Grant Applications & Reporting
3. WIC Reporting
4. Training Schedules

**Kansas Department of Health and Environment Requirements 19**

1. Catalog of Forms
2. Software systems and passwords

**Additional Tools and Information 20**

**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

The 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 statue. 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.](https://www.kshs.org/p/records-management-and-the-law/11348)

***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 (LHDs) on record keeping. Links to these forms are provided below.

* [State Archives Transfer Form](https://www.kshs.org/government/records/stategovt/Records_Transfer_form_20160119.docx) (download)
* [Records Retention Schedule Revision Template](https://www.kshs.org/government/records/records_retention_template_form_fillable_v2_0%281%29.pdf) + [Instructions](https://www.kshs.org/government/records/records_retention_template_form_directions.pdf)
* [Electronic Recordkeeping Plan Template](https://www.kshs.org/government/records/electronic/Combined.docx) (download)
* [Records Inventory Form](https://www.kshs.org/government/records/stategovt/statesurveyform.pdf)

***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:](https://www.kshs.org/p/training/16762)

* 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

[You can also find on-demand trainings produced by KHS on their YouTube channel here.](https://www.youtube.com/playlist?list=PLEQsILc7_8tu5qYyZpcNbBpqj-LD_UTn2)

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

* [Municipal Records Management](https://www.kshs.org/government/records/localgovt/municipalrecordsmanagement.pdf)
* [Municipal Records Retention and Storage](https://www.kshs.org/government/records/localgovt/municipalrecordsretentionandstorage.pdf)
* [Government Records and Preservation Acts](https://www.kshs.org/government/records/govtpreservationandpublicrecordsact.pdf)
* [Introduction to Records and Information Management](https://www.kshs.org/p/introduction-to-records-and-information-management-for-state-and-local-government/16762)
* [Local Records Management Manual](https://www.kshs.org/p/local-records-manual/11342)

Additional courses on record retention:

* [Vital Records and Vital Statistics](https://ks.train.org/ks/course/1096640/) (KS Train)
* [Records Management Training Program](https://www.archives.gov/records-mgmt/training) (US National Archives)
* [Policy for Records Management](https://www.hhs.gov/web/governance/digital-strategy/it-policy-archive/hhs-ocio-policy-for-records-management.html) (Department of Health and Human Services)
* [Records Retention Webinar Series](https://www.health.state.mn.us/communities/practice/resources/training/1506-recordsretention.html) (Minnesota Department of Health)
* [How Do Health Departments Create Regulations, Policies, and Guidance Documents](https://ks.train.org/ks/course/1101400/) (KS Train)

***Management Manual and Best Practices***

The KHS also provides various manuals on managing records and a collection of current administrative regulations and statues provided by the Kansas Legislature. You can view the chapters individually below or the manual by visiting [the link here](https://www.kshs.org/p/state-records-management-manual/11365).

* [Agency Records Officers](https://www.kshs.org/p/agency-records-officers/11353)
* [State Records Board](https://www.kshs.org/p/kansas-state-records-board/11363)
* [Records Management and the Law](https://www.kshs.org/p/state-records-management-manual-best-practices/11365)
* [Record Surveys](https://www.kshs.org/government/records/stategovt/statesurveyform.pdf)
* [Records Retention and Disposition Schedules](https://www.kshs.org/p/state-records-retention-schedules/11366)
* [General Retention and Disposition Schedules](https://www.kshs.org/p/retention-schedules/11368)
* [Agency Retention and Disposition Schedules](https://www.kshs.org/recmgmt/retention_schedule_entries/browse)
* [State Records Center Procedures](https://www.kshs.org/p/state-records-management-manual-best-practices/11365)

You can also find information on assistance on records management on [KHS’ website here](https://www.kshs.org/p/help/18606).

***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.

The Health Insurance Portability and Accountability Act of 1996 (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.](https://www.hhs.gov/hipaa/for-professionals/privacy/index.html)

KALHD also provides a HIPAA privacy rule handbook for health departments [on our website here](file:///Users/shelbyostrom/Desktop/2021-KALHD-HIPAA-PRIVACY-RULE-HANDBOOK_PYA-Final%20%286%29.docx).

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

[Department of Health and Human Services Policy for Records Management](https://www.hhs.gov/web/governance/digital-strategy/it-policy-archive/hhs-ocio-policy-for-records-management.html)

[Landing Page for National Archives](https://www.archives.gov/records-mgmt)

HIPAA Awareness (KS Train #1047429)

HIPPA Allowable Disclosures and Safeguards (KS Train #1072478)

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

**Creating a Document Retention Schedule**

For many LHDs, a document retention schedule should already be created and followed according to state and federal law. However, for those “starting over” or have not previously had a schedule, this handbook provides resources and information on how to begin.

*Introduction*

A records retention and disposition schedule are an essential tool of successful records management for any LHD. Establishing a state-approved records schedule ensures that the program is always in compliance with state law and regulates document storage and treatment of regulated health records more efficiently. The objectives of a good retention and disposition schedule are:

* To assure the identification and protection of vital records
* To ensure compliance with the Kansas Open Records Act
* To provide clear guidance on the length of time to retain records for all employees
* To identify the appropriate disposition (retain, trash, or transfer) of all records

*Creating a schedule*

For a full list of recommendations and requirements, [please visit the Kansas Historical Society website here](https://www.kshs.org/p/records-schedules-how-to-create-or-revise/18607). *Please remember to update your records every 3 years.*

All schedules must be approved and comply with the State Records Board before anything can be implemented. [You can contact the board at this link](https://www.kshs.org/p/state-records-board/19167). In addition, all schedules are required to have the following elements:

* Series title
* Description
* Retention period
* Disposition
* Access restrictions
* Vital record identification

It is also important to consider the following when creating specific schedules:

* Administrative
* Fiscal
* Legal
* Historical

***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.](https://www.kshs.org/p/retention-schedules/11368) 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.](http://www.kalhd.org/)

***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](https://www.kshs.org/p/records-schedules-how-to-create-or-revise/18607).

*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](https://www.kshs.org/p/scheduling-electronic-records/11335)
* [Recordkeeping Template](https://www.kshs.org/government/records/electronic/FinalApproved_RevisedERPTemplate_Version3.docx) (download)
* [Electronic Records Management Guidelines](https://www.kshs.org/p/kansas-electronic-records-management-guidelines/11331)
* [Guidelines for Managing Records on Kansas Government Agency Websites](https://www.kshs.org/government/records/electronic/web_guidelines_approved_version1_0.pdf)
* [Kansas Electronic Recordkeeping Strategy](https://www.kshs.org/p/kansas-electronic-recordkeeping-strategy/11332) (Old, 1999)

***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. The KMAP website has been updated and is easier to access.

* [KMAP Provider Manuals by Service Type](https://www.kmap-state-ks.us/Public/providermanuals.asp)
* [KMAP Provider Documents](https://portal.kmap-state-ks.us/PublicPage/ProviderPricing/ProviderHelpDocuments)
* [KMAP Provider Forms](https://www.kmap-state-ks.us/Public/forms.asp) (including claims, home health, consent, etc.) (log in required)
* [Provider Listing](https://www.kmap-state-ks.us/Public/Provider%20Directory/ProvDirectory.asp)
* [KMAP Reference Code Listing](https://www.kmap-state-ks.us/Provider/PRICING/RefCode.asp) and [Procedure Search](https://portal.kmap-state-ks.us/PublicPage/ProviderPricing/Disclaimer?searchBy=HCPCS)

The state of Kansas provides various training materials for KanCare and Medicaid services in Kansas. Please note that you must be logged in to KMAP for the links below to work.

 [The sessions currently on the website that may interest providers include:](https://www.kancare.ks.gov/providers/training-opportunities)

* 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

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](http://www.cms.gov) or view the CMS training [manual here](https://www.cms.gov/files/document/medical-record-maintenance-and-access-requirements.pdf).

***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**

|  |  |  |  |
| --- | --- | --- | --- |
| ***Task***  | ***Description***  | ***Retention***  | ***Disposition***  |
| 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.  | 6 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**

|  |  |  |  |
| --- | --- | --- | --- |
| ***Task***  | ***Description***  | ***Retention***  | ***Disposition***  |
| 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 |
| Infectious Surveillance Records  | Documents used to monitor infectious disease and antibiotic use to prevent further spread of disease.  | 5 calendar years  | Destroy |

**IMMUNIZATIONS**

|  |  |  |  |
| --- | --- | --- | --- |
| ***Task***  | ***Description***  | ***Retention***  | ***Disposition***  |
| Immunization Card Files & Consent Forms | Contains name, date, age, immunization type and consent form. | 10 calendar years after last contact. | Destroy |
| Immunization records for patients and student immunization records  | Health history of immunizations, including those submitted to WebIZ.  | until no longer useful up to 5 years.  | Destroy  |
| Adverse reaction reports to immunizations, VAERs Records  | Reports by a healthcare or LHD provider on adverse reactions to immunizations for patients.  | 10 years  | Destroy |

**GRANTS**

|  |  |  |  |
| --- | --- | --- | --- |
| ***Task***  | ***Description***  | ***Retention***  | ***Disposition***  |
| 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 |
| Aid to Counties Program Records  | Documents regarding various public health programs by local health departments monitored by KDHE. These include correspondence, reports, and other related documents.  | 5 FISCAL years | Prior to destruction, please contact the State Archival Office |
|  |  |  |  |

**ORGANIZATIONAL**

|  |  |  |  |
| --- | --- | --- | --- |
| ***Task***  | ***Description***  | ***Retention***  | ***Disposition***  |
| 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 |
| 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 |
| 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 *calendar years after last contact* ORuntil 21st 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 21st 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 |
| 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 |
| 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 statue, 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.

For a full list of searchable record recommendations and requirements, [please visit the KHS statute database here.](https://www.kshs.org/p/retention-schedules/11368)

**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](https://www.kdhe.ks.gov/1492/Disease-Reporting-for-Health-Professiona)
* [Preparedness - Bioterrorism](https://www.kdhe.ks.gov/719/Preparedness)
* [Preparedness – Radiation and Chemical Spills](https://www.kdhe.ks.gov/1009/Radiation-Right-To-Know)
* [Childcare Licensing](https://www.kdhe.ks.gov/286/Child-Care-Licensing-Forms-Applications)
* [EPI Hotline](https://www.kdhe.ks.gov/1440/Infectious-Disease-Epidemiology-Response)
* [Health State Regulations](https://www.kdhe.ks.gov/601/BHF-State-Regulations)
* [WIC Homepage](https://www.kdhe.ks.gov/401/Children-Families)
* [Infectious Disease Summaries and Reporting](https://www.kdhe.ks.gov/Archive.aspx?AMID=77)
* [Lab Collection](https://www.kdhe.ks.gov/948/Customer-Service)
* [Aid to Local Document Library](https://kgms.ks.gov/) (KGMS)
* [Templates from KDHE for local health departments](https://www.kdhe.ks.gov/705/Local-Public-Health-Sample-Policies-Form)
* [Preparedness – Training Program](https://www.kdhe.ks.gov/728/Exercise-Training-Program)
* [State Licensure Forms](https://www.kdhe.ks.gov/574/State-Licensure-Forms)
* [340B and Medicaid Guidance](https://www.kdhe.ks.gov/189/340B-Program-Kansas-Medicaid)

*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](https://kgms.ks.gov/Default.aspx) (KGMS)
* [KansasTrain](https://www.train.org/ks/welcome) (KS Train)
* [Kansas Public Health Information](https://kanphix.kdhe.state.ks.us/) (KANPHIX)
* [Kansas Health Alert](https://member.everbridge.net/892807736724418/login) Network (KS-HAN)
* Inventory Management and Tracking System (IMATS)
* EpiTrax
* Brushart
* WebIZ

**Additional Resources**

*Helpful Links*

[2021 HIPAA Privacy Rule Handbook](file:///Users/shelbyostrom/Desktop/2021-KALHD-HIPAA-PRIVACY-RULE-HANDBOOK_PYA-Final%20%286%29.docx) - Available on KALHD’s website

[2022 New Leader Orientation Manual](https://www.kalhd.org/wp-content/uploads/2021/03/KALHD-Guide-for-LHD-Directors-January-2021-Final.pdf) – Available on KALHD’s website

[Six Key Steps to Developing a Record Retention Policy](https://www.mtfn.com/six-key-steps-to-developing-a-record-retention-policy/)

[How to Craft an Effective Record Retention Policy – Healthcare Setting](https://www.healthdatamanagement.com/articles/how-to-craft-an-effective-record-retention-policy)

*Helpful Websites*

[Kansas Historical Society](http://www.khs.org/)

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

[Kansas Department of Health and Environment](http://www.kdhe.ks.gov/)

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

[Kansas State Library](https://kslib.info/1317/Records-Retention)

*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](http://www.kslegislature.org/li_2014/b2013_14/statute/045_000_0000_chapter/045_002_0000_article/)

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

[Kansas Attorney General Public FAQ on Kansas Open Records Act (KORA)](https://ag.ks.gov/open-government/kora-faq)

*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](https://www.kansascounties.org/resources/kora-koma/kansas-open-records-act)