Local Records Retention Schedules

Missouri Revised Statutes Chapter 109 (Public and Business Records) Section 255 authorizes the Local Records Board to establish minimum retention periods for the administrative, fiscal and legal records created by local governments.

Retention and disposition of records that are common to many offices are included in the General Schedule. Records unique to particular offices are addressed in individual office schedules.

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Revised “Preservation of Permanent Records” in Introduction

Health District and Hospital Records Retention Schedule

See also the General Records Retention Schedule.

Using this Records Retention Schedule

Every day local government offices throughout Missouri produce records that document the rights of citizens, the actions of the government that serves them and the history of the community in which they live. It is the responsibility of local government to effectively maintain and manage these records and to ensure the continued preservation of those records of essential evidence that have enduring and permanent value.

The introduction to this retention schedule provides local government officials with basic information on records and the application of retention schedules.

What is a Record?
A "record" is defined as any "document, book, paper, photograph, map, sound recording or other material, regardless of physical form or characteristics, made or received pursuant to law or in connection with the transaction of official business" (109.210(5) RSMo). This definition includes those records created, used and maintained in electronic form.

Non-Records
Even though records include a broad spectrum of recorded information, not all recorded information is a record. According to Section 109.210(5) RSMo, the following are not records: "...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..."

Other examples of non-records include the following materials:
- Identical copies of documents maintained in the same file.
- Extra copies of printed or processed materials (official copies of which are retained by the office of record).
- Superseded manuals and other directives (maintained outside the office of record).
- Materials documenting employee fringe activities (blood donors, charitable funds, social and professional meetings, etc.)
- Work papers and drafts of reports or correspondence. Transcribed stenographic materials.
- Blank forms.
- Materials received from other activities that require no action (official copies of which are retained by the office of record).
• Catalogs, trade journals and other publications or papers received from government agencies, commercial firms or private institutions that require no action and are not part of an action case record.
• Survey forms.
Non-records do not require retention scheduling or destruction authorization or reporting. To control excessive accumulation, it is necessary to keep only current, useful materials and to destroy non-records immediately after needs have been satisfied. Avoid filing non-record material with records.

The Value of Local Government Records
Some records, because of their enduring administrative, fiscal, legal or historical value, should be permanently retained. These records require that special care and consideration be given to their storage conditions and the feasibility of preservation microfilming. Examples of permanent records include year-end reports; minutes; property records such as deeds; and birth, death and marriage records. Most records do not have values that warrant their permanent preservation. Those records with short-term value should, upon reaching end of the retention period, be destroyed.

Statutory Authority for Establishing Records Retention Requirements
In 1965, the Missouri General Assembly established a State Records Commission to approve retentions for records produced by state agencies. In 1972, Missouri's Business and Public Records Law (Chapter 109) was expanded to include local government. Thus, the Missouri Local Records Board was established to set retention times for local government records. The 16-member board, chaired by the Secretary of State, consists of local government officials from all classes of counties and cities, elementary and secondary education, higher education and a person active in historical society groups. Supplemental to the Local Records Board, the Records Management and Archives Service of the Secretary of State's office provides assistance to local governments and implements board policy.

Application of the Records Retention Schedule
This schedule establishes minimum retention periods and authorizes dispositions for many of the administrative, fiscal and legal records common to most local governments. Retention periods are based upon federal and state mandates, record surveys, business needs, and general knowledge as to how long records should be kept. Using the schedule as a guide and without seeking further approval from the Local Records Board, any local government may regularly dispose of any of its records that appear on this schedule. The schedule is subject to the following exceptions and limitations:

A. Local government offices may retain any of their records beyond the retention periods set by the schedule, as they deem necessary. The schedule establishes only a minimum period of retention. Before retaining a record longer than the minimum time required, however, the office should be certain that it has good reason to do so. Unnecessary retention of records can be expensive in space and filing equipment and may expose the office to costly litigation and discovery requirements.
B. This schedule does not relieve local governments of retention requirements mandated by other state and federal statutes and regulations. When such an obligation does exist, then the longer retention period takes precedence.
C. This schedule generally reflects audit requirements in its prescribed retention periods, but audits are not always completed in a timely fashion. Therefore, any record required for an audit must be retained until completion of that audit, regardless of its stated retention period in the schedule.
D. This schedule does not authorize destruction of records that could be deemed relevant to current or pending litigation.

Retention and disposition of records that are common to many offices are included in the General Schedule. Records unique to particular offices are addressed in individual office schedules. All schedules are available on the Secretary of State’s website at http://www.sos.mo.gov/archives/localrecs/schedules

Destruction of Records
The records classification and retention periods in this manual constitute legal authority for retention and disposal of official records. No records can be destroyed until they meet the minimum retention period listed in this manual. In cases where there is no schedule for a particular record series, the Local Records Board must grant permission for the destruction.
The disposition of records should be recorded in a document such as the minutes of the city council or other legally constituted authority that has permanent record status. The record should include the description and quantity of each record series disposed of, manner of destruction, inclusive dates covered and the date on which destruction was accomplished.

The retention schedule does not prescribe the method of destruction (shredding, burning, landfills, etc.), however, record series with a disposition of *Destroy securely* contain confidential data. These records should be destroyed under the supervision of a competent person(s) designated (or appointed) to ensure that no records fall into unauthorized hands and that the data cannot be reconstructed.

When records, open or confidential, have been destroyed by decay, vermin, fire, water or other means making their remains illegible, the custodian of records may dispose of the remains after verification and documentation by the Local Records Program, Office of the Secretary of State.

**Preservation of Permanent Records**

A fundamental, yet often neglected obligation of local government is to care for the permanent records it generates and receives regardless of format. The records, both electronic and physical, that have been identified as permanent require special handling and storage if they are to be preserved. The continuous interaction between a physical record's medium: paper, magnetic tape, film, etc. -and the quality of the environment in which it is kept-temperature, humidity, light, and air-determines the severity and rate of its deterioration. For electronic records the concerns include media decay, hardware/software obsolescence, and migration of data into the current standard: PDF-A, TIF, etc.

By imaging permanently valuable records, local governments can generate durable microfilm for preservation and disaster recovery, while also maintaining an electronic version for access. When microfilmed, processed, and maintained to archival specifications, a master negative will ensure that permanently valuable records are preserved for generations to come (microfilm has an estimated shelf life of over 500 years). Microfilm that meets the standards outlined here is eligible to be stored by the Missouri State Archives at no cost.

The Missouri Local Records Grant program can provide financial assistance in the form of grants-in-aid to supplement local funds for preservation initiatives, such as archival supplies, shelving and preservation microfilming.

**Reformatting Standards**

In accordance with RSMo 109.241.4, the Local Records Board has adopted the following standards for microfilm and digitized records. To be in compliance for image permanence, microfilm must conform to the technical standards outlined in the *Guidelines for Microfilming Public Records*, drafted by the Local Records Program and available on the Secretary of State’s website at: [http://www.sos.mo.gov/archives/pubs/mfmg](http://www.sos.mo.gov/archives/pubs/mfmg). To ensure the permanence of electronic records and digitized records, electronic records management systems must meet the standards outlined in the most current version of ISO 15489. Certification that records have been reformatted in accordance with these standards should be maintained locally and classified under General Records Retention Schedule "GS 018 Records Management Records."

**A Note about Retention Periods**

This schedule provides minimum retentions. Local authorities may choose to keep a particular series or record for a longer period of time. It should be kept in mind, however, that a record kept beyond its listed retention must be made available for inspection upon request.

The point at which a retention period begins is termed a cutoff, or trigger. Typically this is on a regular cycle—the end of the calendar year, the end of the fiscal year, etc. This is the period of the inactive record. A traditional example of this would be the period when records are boxed and removed from active file cabinets and work areas.

When determining cutoffs, a good rubric is outlined in DoD 5015.02 "Electronic Records Management Software Applications Design Criteria Standard":

A. retention periods of less than 1 Year, the cutoff is equal to the retention period;
B. retention periods of 1 Year, or more, the cutoff is at the end of the fiscal or calendar year;
C. for records with a retention period based on an event or action, the cutoff is the date the action is completed;  
D. for records with a retention period based on a specific time period after an event or action, apply the retention period after the action is complete.

Retention Definitions:  
**COA=Completion of Audit.** Note that COA is coupled with a lot of 5-year entries to help encourage regular audits. Not all jurisdictions are required to have audits by statute. Audits for some municipalities are governed by the level of federal financing for bonds and public improvements, and thus are governed by federal retentions. Most municipalities are governed by their local authority (alderman, council, mayor, etc.) for auditing policy. Local jurisdictions may consult RSMo 29 to review the State Auditor's chapter for petition audits (see RSMo 250 for large capital projects such as bonds for water and sewer). For general auditing explanations and advice we recommend that clerks contact the State Auditor's office at 573.751.4213.

**DCA=Destroy in Current Area/Reference.** Series with these retentions are considered "reference" records and may be destroyed when they are no longer of use.

Modifications and Additions  
Because records reflect activities that are constantly changing, the retention requirements for them sometimes require revision as well. Consequently, records retention and disposition schedules often need modification or additions in order to be realistic and effective. Furthermore, because local governments are so large, it is impractical to consult with every office regarding specific schedule entries. There may be some retention periods and disposition requirements within this schedule that fail to account for all relevant factors and there may be some important record series not addressed here which need to be added. The Local Records Program welcomes all comments and suggestions concerned with improvement of record retention schedules through modifications and additions.  
**For further information on any records management or preservation issue, please contact:**

Missouri Secretary of State  
Local Records Preservation Program  
PO Box 1747, Jefferson City, MO 65101-1747  
Telephone: (573) 751-9047  
local.records@sos.mo.gov

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Health District and Hospital Records Retention Schedule

See also the General Records Retention Schedule.

**Health Department Records**

<table>
<thead>
<tr>
<th>HDH0001</th>
<th>Health Department Inspection Reports</th>
</tr>
</thead>
<tbody>
<tr>
<td>Also Called:</td>
<td>Sanitation Inspection Report Licensed Centers, Group Homes, and License-Exempt Facilities; Sanitation Report Family Child Care Home; Inspection Report Child Care Facility; Lodging Establishment Inspection Report; Hotel/Motel Inspection Report; Restaurant Inspection Report; Food Establishment Inspection Report</td>
</tr>
<tr>
<td>Function:</td>
<td>Reports on health and safety inspections at various public facilities.</td>
</tr>
<tr>
<td>Content:</td>
<td>Completion of Audit</td>
</tr>
<tr>
<td>Retention:</td>
<td>Destroy</td>
</tr>
<tr>
<td>Note:</td>
<td>These are tri-part forms that are divided between the facility, the inspector, and Missouri Department of Health and Senior Services</td>
</tr>
<tr>
<td>Approval Date:</td>
<td>August 20, 2013</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>HDH0002</th>
<th>Reports Submitted to County or State Health Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>Also Called:</td>
<td>High Risk Maternal and Child Care Report; Communicable Disease Report</td>
</tr>
<tr>
<td>Function:</td>
<td>Document occurrences deemed reportable by state statute or regulation</td>
</tr>
<tr>
<td>Content:</td>
<td>Rabid animal reports, sexually transmitted disease reports, etc.*</td>
</tr>
<tr>
<td>Retention:</td>
<td>3 Years</td>
</tr>
<tr>
<td>Disposition:</td>
<td>Destroy</td>
</tr>
<tr>
<td>Note:</td>
<td>*See 19 CSR 20-20 for list of communicable diseases that must be reported.</td>
</tr>
<tr>
<td>Approval Date:</td>
<td>August 20, 2013</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>HDH0003</th>
<th>Voter Registration</th>
</tr>
</thead>
<tbody>
<tr>
<td>Also Called:</td>
<td>Missouri Voter Registration Application; Duplicate Voter Registration</td>
</tr>
<tr>
<td>Function:</td>
<td>Official registration record upon acceptance by local election authority</td>
</tr>
<tr>
<td>Content:</td>
<td>May include, but is not limited to: verification of US Citizenship; verification of eligible age; new registration box; address change box; name change box; registration number; full name; suffix (Jr, Sr, I, II, III, IV); gender; address of residence; mailing address (if different); last 4 digits of social security number; driver's license; date of birth; place of birth (optional); daytime phone number (optional); name and address on last voter registration (if currently registered in another state); affidavit of legal right to register; date and signature of applicant; section to be completed by rural voters living outside city limits of any city</td>
</tr>
<tr>
<td>Retention:</td>
<td>3 months</td>
</tr>
<tr>
<td>Disposition:</td>
<td>Destroy</td>
</tr>
<tr>
<td>Note:</td>
<td>Per RSMo 115.162, local health departments are required to take voter registrations and forward them to the local election authority within 5 days of receipt.</td>
</tr>
<tr>
<td>Approval Date:</td>
<td>August 20, 2013</td>
</tr>
</tbody>
</table>
HDH0004  Vital Records
Also Called: Death Certificates; Death Register; Local Registrar's Record of Deaths; Birth Records
Function: Record of births/deaths in the county/district, gathered for submission to the Office of Vital Statistics.
Content: May contain: name, date of event, place of event, attending physician, hospital, funeral home, cause of death.
Retention: Permanent
Disposition: Archive
Note: 19 CSR 10-10.090 "Access to Vital Records." With development of online registry, health department may now be notified of deaths by the Office of Vital Statistics.
Approval Date: August 20, 2013

HDH0005  Vital Records Applications
Also Called: Function: Written requests for copy of birth or death certificate.
Content: Name of person requesting information, identifying information for birth/death
Retention: Completion of Audit
Disposition: Destroy
Note: The health department is charged by Vital Statistics for each look-up.
Approval Date: August 20, 2013

HDH0006  Women, Infant, and Children (WIC) Program
Also Called: WIC; Special Supplemental Nutrition Program for Women, Infants and Children Records
Function: Records of federal grant program for supplemental foods, health care referrals, and nutrition education for low-income women and to infants and children up to age five.
Content: See Federal Regulations
Retention: Destroy
Disposition: Federally regulated records; These records are now kept electronically on the MOWINS system
Note: Approval Date: August 20, 2013

HDH0007  Drug Testing Records
Also Called: Function: Documents drug testing lab work contracted for with Health Department
Content: 2 Years
Retention: Destroy
Disposition: For personnel drug testing records see: Local Records General Schedule--GS 043
Note: Approval Date: August 20, 2013

HDH0008  State-sponsored Safety Programs
Also Called: Safe Cribs for Missouri Program; Car Seat Check Up
Function: Documents activities of state-sponsored programs
Content: Completion of Audit
Retention: Destroy
Disposition: Car Sear Check Up sponsored by Missouri Department of Transportation; Safe Cribs for Missouri Program sponsored by Missouri Department of Social Services
Note: Approval Date: August 20, 2013
**Temporary Eligibility Determination**

**Also Called:** Temporary Medicaid Eligibility for Pregnant Women

**Function:** Application for temporary Medicaid benefits through MoHealthNet

**Content:** Name, address, phone number, county, social security number, date of birth, race, residency status, household information, verification of pregnancy, household income and eligibility status, provider name QP number, title and date

**Retention:** Completion of Audit

**Disposition:** Destroy

**Note:** Operated through the Missouri Department of Social Services Family Support Division

**Approval Date:** August 20, 2013

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**Patient/Client Records**

**HDH0010 Patient/Client Medical Records**

**Also Called:** Inpatient/Outpatient Records; Home Health Agency Records; Diagnostic Testing Records; Nuclear Medicine Reports; Emergency Room Files; Radiology Reports; Psychiatric Records; Immunization Reports; Mammography Films and Reports; Anesthesia Records; Consent Records; ICU Admittance Records; Surgical Log; Physical Therapy Records; Patient Referral and Progress Sheet; Record Card; Progress Notes; Monthly Treatment Records and Totals; Rehabilitation Team Evaluation; Well Child; Well Baby; Pregnancy Test Records; Request for Environmental Blood Lead and ZPP Test; Pre-Natal Care Management file

**Function:** Document interactions with patient/client, including treatments, tests and consultations

**Content:**

**Retention:** 10 Years; or, if patient is a minor, retain until 23rd birthday or 10 Years, whichever is longer

**Disposition:** Destroy

**Note:** 19 CSR 30-20.094 (15); 19 CSR 30-20.120(4); 42 CFR 484.48; RSMo 516.105; RSMo 334.097

**Approval Date:** August 20, 2013

**HDH0011 Patient/Client Medical Records--Nursing Homes**

**Also Called:**

**Function:** Document interactions with patient/client, including treatments, tests and consultations

**Content:**

**Retention:** 5 Years after resident leaves facility. If resident is less than 21 years of age when leaving facility, retain until 26th birthday

**Disposition:** Destroy

**Note:** RSMo 198.052

**Approval Date:** August 19, 2014

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**Administrative Records**

**HDH0100 Accreditation Records**

**Also Called:** Hospital Accreditation Records

**Function:** Documents facility accreditation by recognized professional/governmental organizations

**Content:** State Licensure Inspections, Joint Commission Accreditation, AOA Accreditation

**Retention:**

**Disposition:** Destroy

**Note:** *See GS 104 Accreditation Records

**Approval Date:** August 20, 2013; Revised August 24, 2016
<table>
<thead>
<tr>
<th>HDH0101</th>
<th>Admission Record</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Also Called:</strong> Admission Log Book; Hospital Admission Forms</td>
<td></td>
</tr>
<tr>
<td><strong>Function:</strong> Tracks admission of patient into facility</td>
<td></td>
</tr>
<tr>
<td><strong>Retention:</strong> 23 Years</td>
<td></td>
</tr>
<tr>
<td><strong>Disposition:</strong> Destroy</td>
<td></td>
</tr>
<tr>
<td><strong>Note:</strong> Originals should be located in Admissions. Duplicates of these records are often sent to other departments of the hospital. Duplicates may be destroyed when no longer of reference value.</td>
<td></td>
</tr>
<tr>
<td><strong>Approval Date:</strong> August 20, 2013</td>
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<table>
<thead>
<tr>
<th>HDH0102</th>
<th>Compliance Program Documentation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Also Called:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Function:</strong> Documents internal controls that promote adherence to applicable Federal and State law, and the program requirements of Federal, State and private health plans.</td>
<td></td>
</tr>
<tr>
<td><strong>Retention:</strong> 10 Years</td>
<td></td>
</tr>
<tr>
<td><strong>Disposition:</strong> Destroy</td>
<td></td>
</tr>
<tr>
<td><strong>Note:</strong> Office of the Inspector General's Compliance Program Guidance for Hospitals: <a href="http://oig.hhs.gov/compliance/compliance-guidance/">http://oig.hhs.gov/compliance/compliance-guidance/</a></td>
<td></td>
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<tr>
<td><strong>Approval Date:</strong> August 20, 2013</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>HDH0103</th>
<th>Medical and Surgical Audit</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Function:</strong> Detailed review of records to evaluate quality of care.</td>
<td></td>
</tr>
<tr>
<td><strong>Retention:</strong> 5 Years</td>
<td></td>
</tr>
<tr>
<td><strong>Disposition:</strong> Destroy</td>
<td></td>
</tr>
<tr>
<td><strong>Note:</strong></td>
<td></td>
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<tr>
<td><strong>Approval Date:</strong> August 20, 2013</td>
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<table>
<thead>
<tr>
<th>HDH0104</th>
<th>HIPAA Documentation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Function:</strong> Tracks policies and procedures related to protected health information</td>
<td></td>
</tr>
<tr>
<td><strong>Content:</strong> Revisions to Privacy Practice Notices. HIPAA training records. Complaints and their disposition. Accounting of disclosures of protected health information.</td>
<td></td>
</tr>
<tr>
<td><strong>Retention:</strong> 6 Years</td>
<td></td>
</tr>
<tr>
<td><strong>Disposition:</strong> Destroy</td>
<td></td>
</tr>
<tr>
<td><strong>Note:</strong> 45 CFR 164.316, 164.316(b), 164.530(j), and 164.528(a) (2007)</td>
<td></td>
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<tr>
<td><strong>Approval Date:</strong> August 20, 2013</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>HDH0105</th>
<th>Hospital Price List</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Also Called:</strong> Hospital Rate Book; Hospital Price Manual</td>
<td></td>
</tr>
<tr>
<td><strong>Function:</strong> Documents pricing for hospital services</td>
<td></td>
</tr>
<tr>
<td><strong>Retention:</strong> Maintain until updated</td>
<td></td>
</tr>
<tr>
<td><strong>Disposition:</strong> Destroy</td>
<td></td>
</tr>
<tr>
<td><strong>Note:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Approval Date:</strong> August 20, 2013</td>
<td></td>
</tr>
</tbody>
</table>
Utilization Review Reconsideration Determination Records

Reconsiderations of initial denial determinations concerning services furnished or proposed to be furnished under Medicare
Initial determination and its basis, date of receipt of request for reconsideration, basis for reconsideration, evidence submitted, copy of the notice
4 Years from final notice of reconsideration determination or until completion of litigation and the passage of the time period for filing all appeals.

Quality Improvement / Assurance Records

Document ongoing, systematic facility-wide, patient-oriented performance improvement
3 Years

Transfer Agreements

A document which sets forth the rights and responsibilities of hospitals regarding the Inter-hospital transfer of patients
Until revised or superseded

Medicaid/Medicare Records

Administrative records documenting Medicaid/Medicare services provided by facility
See Federal Regulations
Federally regulated records

Approval Date:
August 20, 2013
HDH0201  Medicare Cost Report Materials  
Also Called:  
Function:  
Content:  
Retention:  
Disposition:  
Note:  
Approval Date:  

Cost reports submitted by providers to intermediaries for the purpose of determining Medicare reimbursable costs.  
Accounting Records, Records used in preparation of filing cost report, Documents submitted to the fiscal intermediary or carrier, Federal income tax status, Chargemaster, Physician material (including physician agreements on which Part A and Part B allocations are based), Utilization review materials, as applicable  
8 years after the Notice of Program Reimbursement unless the cost report is subject to appeal or litigation, in which case retain until the completion of litigation  
Destroy  
August 20, 2013

Food Service Records

HDH0300  Meals Provided  
Also Called:  
Function:  
Content:  
Retention:  
Disposition:  
Note:  
Approval Date:  

Diet Requisitions from the Floor; Monthly Patient Meal Census; Record of Extra Items and Special Luncheons; Cafeteria Price List  
Tracks service history of department  
Completion of Audit  
Destroy  
August 20, 2013

HDH0301  Administrative Records  
Also Called:  
Function:  
Content:  
Retention:  
Disposition:  
Note:  
Approval Date:  

Records of Diet Types; Diabetic Food Charts  
Tracks operations of department  
Maintain until updated  
Destroy  
August 20, 2013

Housekeeping Records

HDH0400  Environmental and Support Services Records  
Also Called:  
Function:  
Content:  
Retention:  
Disposition:  
Note:  
Approval Date:  

Housekeeping Records; Linen Service Records  
Document activities of Housekeeping Service and/or Laundry and Linen Service  
Completion of Audit  
Destroy  
19 CSR 30-20.114  
August 20, 2013
Laboratory Records

HDH0500  Autoclave Records
Also Called: Run Record; Test Reports
Function: Records relating to operations and maintenance of autoclave.
Content: Completion of Audit
Retention: 19 CSR 30-20.098 (8)
Disposition: August 20, 2013
Note: Approval Date:

HDH0501  Autopsy Records
Also Called: Autopsy Reports; Autopsy Permissions
Function: Content: Retention: 10 Years
Disposition: Destroy
Note: May be included in patient file.
Approval Date: August 20, 2013

HDH0502  Blood and Blood Product Records
Also Called: Blood Bank and Cross Match Cards
Function: Records tracking acquisition, storage and use of blood and blood products
Content: Donor information, storage and distribution of the product, Compatibility testing, quality control records, transfusion reaction reports and complaints, and general records.
Retention: 10 Years after the records of processing are completed, or 6 months after the latest expiration date for the individual product, whichever is later.
Disposition: Destroy
Approval Date: August 20, 2013

HDH0503  Quality Control Records
Also Called: Laboratory Quality Control Program; Proficiency Testing; Quality Control Ledger
Function: Records of program to verify accuracy, measure precision and detect errors.
Content: 2 Years
Retention: Destroy
Disposition: 19 CSR 30-20.098 (9-10)
Note: Approval Date: August 20, 2013

HDH0504  Reports
Also Called: Histology, Pathology, Chemistry, Hematology, Urinalysis, Bacteriology, Serology, Autopsy, etc.
Function: Content: 2 Years
Retention: Destroy
Disposition: 19 CSR 30-20.098 (7); Note this is a copy, original should be in patient file
Note: Approval Date: August 20, 2013
### Equipment and Instrument Evaluations

**Also Called:**

- Function:
- Content:
- Retention:
- Disposition:
- Note:
- Approval Date:

Checks to ensure equipment is functioning properly at all times. Date, calibration, performance evaluation and corrective action. Completion of Audit. Destroy. 19 CSR 30-20.098 (8). August 20, 2013.

### Medical Records

#### HDH0600

**Birth/Death Register**

**Also Called:**

- **Newborn Register; Death Register**
- **Function:**
- **Content:**
- **Retention:**
- **Disposition:**
- **Note:**
- **Approval Date:**

Document births/deaths that occur within the facility. 5 Years. Destroy. RSMO 193.275 requires facilities to maintain a record of all births and deaths on their premises for a period of 5 years. August 20, 2013.

#### HDH0601

**Emergency Department Log**

**Also Called:**

- **Function:**
- **Content:**
- **Retention:**
- **Disposition:**
- **Note:**
- **Approval Date:**

Record of each individual seeking assistance in the emergency department. May contain information on whether or not the patient refused treatment, was refused treatment, was transferred, was admitted and treated, or discharged. 5 Years. Destroy. 42 CFR 489.20 (r)(3). August 20, 2013.

#### HDH0602

**Infection Control Records**

**Also Called:**

- **Function:**
- **Content:**
- **Retention:**
- **Disposition:**
- **Note:**
- **Approval Date:**

Records and reports used in identifying, investigating and controlling infections and communicable diseases of patients and personnel. May include blood borne pathogen training, the OSHA 300 Log, the privacy case list (if one exists), the annual summary, and the OSHA 301 Incident Report forms. 5 Years following the end of the year referenced. Destroy. 29 CFR 1904.33. August 20, 2013.

#### HDH0603

**Medical Indexes**

**Also Called:**

- **Function:**
- **Content:**
- **Retention:**
- **Disposition:**
- **Note:**
- **Approval Date:**

Master Patient Index; Physician Index. Finding aids to locate medical records, medical cases, or other information. May contain: Patient name; location of active and inactive records; destruction date of patient record; physician name and code; health record number; diagnoses, operations and disposition of patients. Permanent. Archive. August 20, 2013.
**Medical Device Event Files**

Document deaths and serious injuries that a device has or may have caused.

2 Years from the date of the event.

Destroy

21 CFR 803.18(c) (2007)

August 20, 2013

**Medical Device Tracking Records**

FDA requires records based on the following criteria: the failure of the device would be reasonably likely to have serious adverse health consequences; or the device is intended to be implanted in the human body for more than 1 year; or the device is a life-sustaining or life-supporting device used outside a device user facility.

Useful life of each device

Destroy

21 CFR 821.60 (2007)

August 20, 2013

**Methadone and Opioid Treatment Program Records**

Records of the use of narcotic drugs in maintenance and detoxification treatment of opioid addiction.

3 Years

Destroy


August 20, 2013

**Pharmacy Records**

**Pharmacy Control Record**

Control Record for Drugs; Prescription Record of Orders from Outside Hospital for Inpatients; Drug Recording; Record of Class 2, 3, 4, 5 Drugs; Record of Drug Purchases (Non Narcotic); Record of Narcotic Purchases

Record of acquisition and inventory of controlled substances

2 Years

Destroy

21 CFR 1304.04; 21USC827; 19 CSR 30-20.100 (9); 19 CSR 30-1.041

August 20, 2013

**Pharmacy Records**

Record of medication compounding, repackaging, and dispensing

5 Years

Destroy

RSMo 338.100; 19 CSR 30-20.100(9); 19 CSR 30-1.041(2).

August 20, 2013
## Radiology/Nuclear Medicine

<table>
<thead>
<tr>
<th>Document Code</th>
<th>Description</th>
<th>Also Called</th>
<th>Function</th>
<th>Content</th>
<th>Retention</th>
<th>Disposition</th>
<th>Note</th>
<th>Approval Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>HDH0800</td>
<td>Daily Log of Patient Exams</td>
<td>Daily Log</td>
<td>Daily record of activity</td>
<td>Patient Name and procedure</td>
<td>Completion of Audit</td>
<td>Destroy</td>
<td>Official record should be part of patient medical file</td>
<td>August 20, 2013</td>
</tr>
<tr>
<td>HDH0801</td>
<td>Decay in Storage Disposal Records</td>
<td>Also Called</td>
<td>Documents disposal of certain radioactive materials</td>
<td>Date of the disposal, the survey instrument used, the background radiation level, the radiation level measured at the surface of each waste container, and the name of the individual who performed the survey.</td>
<td>3 Years</td>
<td>Destroy</td>
<td>10 CFR 35.2092</td>
<td>August 20, 2013</td>
</tr>
<tr>
<td>HDH0802</td>
<td>Diagnostic Testing Records</td>
<td>Also Called</td>
<td>Envelope and films; Films; Images; Pictures; Tracings; X-rays; Mammograms</td>
<td>If signed interpretative report generated, 5 years. Without interpretative report, 10</td>
<td>2 Years</td>
<td>Destroy</td>
<td>42 CFR 482.26 (2007), RSMO 516. 105 (2007). *Per 21 CFR 900.12 mammography films shall be retained for 5 years, or not less than 10 years if no additional mammograms of patient are performed at the facility.</td>
<td>August 20, 2013</td>
</tr>
<tr>
<td>HDH0803</td>
<td>Equipment Inspection</td>
<td>Also Called</td>
<td>Record of Lab and Equipment Check</td>
<td>Documents periodic evaluation of condition of equipment</td>
<td>2 Years</td>
<td>Destroy</td>
<td>19 CSR 30-20.102(9)</td>
<td>August 20, 2013</td>
</tr>
<tr>
<td>HDH0804</td>
<td>Quality Control Records</td>
<td>Also Called</td>
<td>Mammography Equipment Quality Assurance Records</td>
<td>Records documenting mammography technique and procedures, quality control, safety, protection, and employee qualifications</td>
<td>Until the next annual inspection, or until test has been performed two additional times, whichever is longer (see note)</td>
<td>Destroy</td>
<td>21 CFR 900.12; specific tests and frequencies specified in CFR</td>
<td>August 20, 2013</td>
</tr>
</tbody>
</table>
**HDH0805**

**Equipment Calibration**
Calibration of Survey Meter and Lab Monitor; Chi Square Test; Crystal Resolution of Magnascanner and Spectriscaker; Function Checks on Dose Calibrator; Record of Voltage Calibrations
Documents regular calibration of equipment

Function:
Content:
Retention: 3 Years
Disposition: Destroy
Note: 10 CFR 20.2103; 10 CFR 35.2060; 10 CFR 35.2061; 10 CFR 35.2432
Approval Date: August 20, 2013

**HDH0806**

**Film Badge Records**
Report on badges worn by employees to detect exposure to radiation

Function:
Content:
Retention: 5 Years after termination of employment
Disposition: Destroy
Note: 19 CSR 20-10.060(3)
Approval Date: August 20, 2013

**HDH0807**

**Generator Survey**
Evaluation of the radiation hazards incidental to the production, use, or existence of radioactive materials

Function:
Content:
Retention: Permanent
Disposition: Archive
Note: August 20, 2013

**HDH0808**

**Isotope Dosage Admitted to Patient**
Demonstrate compliance with the dose limit for individual members of the public

Function:
Content:
Retention: Permanent
Disposition: Archive
Note: 10 CFR 20.2107
Approval Date: August 20, 2013

**HDH0809**

**Procedure Reports**
Reports of interpretations, consultations and procedures.

Function:
Content:
Retention: 5 Years
Disposition: Destroy
Note: 42 CFR 482.53
Approval Date: August 20, 2013

**HDH0810**

**Radiation Safety Committee Meeting Records**

Function:
Content:
Retention: Permanent
Disposition: Archive
Note: August 20, 2013
HDH0811
Also Called:
Function:
Content:
Retention:
Disposition:
Note:
Approval Date:

Record of Receipt or Transfer of By-product Material
Documents receipt and transfer of material regulated by the Nuclear Regulatory Commission

3 Years
Destroy
10 CFR 30.51
August 20, 2013

HDH0812
Also Called:
Function:
Content:
Retention:
Disposition:
Note:
Approval Date:

Waste Disposal Records
Documents disposal by means other than Decay in Storage or Transfer

Permanent
Archive
10 CFR 20.2108; 10 CFR 30.51
August 20, 2013

HDH0813
Also Called:
Function:
Content:
Retention:
Disposition:
Note:
Approval Date:

Wipe Test Records
Record of Hot Lab Wipe Test; Record of Wipe Test on Sealed Sources
Documents test for radioactive contamination

Permanent
Archive
August 20, 2013