



## Agency Records Disposition Schedule

Department: Department of Health and Senior Services

Section: State Public Health Laboratory

Division: Department Directors Office

Sub-Section:

**TITLE:** Animal Rabies Testing Records

**CUTOFF:** End of calendar year in which data is generated

**DESCRIPTION:** Documents created by the Virology Unit regarding animal rabies testing. Records include, but are not limited to, quality control records and test result reports.

**RETENTION:** Years: 2 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 24498

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016

**TITLE:** Breath Alcohol Case Custodial Records

**CUTOFF:** End of Calendar Year in which case closes

**DESCRIPTION:** Documents used for court cases when alcohol-related charges are involved. Records include, but are not limited to, submitted permit applications from law enforcement, breath alcohol program permits, and submitted maintenance checks from trained personnel.

**RETENTION:** Years: 3 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 7530

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016

**TITLE:** Breath Alcohol Equipment Quality Assurance Records

**CUTOFF:** End of Calendar Year

**DESCRIPTION:** Records demonstrating the quality and compliance of breath alcohol testing equipment and the certification of personnel to use that equipment. Records include, but are not limited to, personnel training records, stakeholder minutes, public information requests and general correspondence. Records created and maintained per 42 CFR 1105 and 49 CFR 40.333.3.

**RETENTION:** Years: 3 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 7531

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016



**Agency Records Disposition Schedule**

Department: Department of Health and Senior Services

Section: State Public Health Laboratory

Division: Department Directors Office

Sub-Section:

**TITLE:** Breath Alcohol Internal Quality Assurance Records

**CUTOFF:** End of Calendar Year

**DESCRIPTION:** Alcohol analyses conducted per State Public Health Laboratory's internal standards and used in complaints, investigations and court cases. Records include, but are not limited to, Breath Alcohol Program (BAP) thermometer calibrations and simulator solution analysis done by both the BAP and the manufacturer.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23231

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016

**TITLE:** Breath Alcohol Simulator Certifications

**CUTOFF:** When superseded or outdated

**DESCRIPTION:** Instrument certifications for simulators purchased by law enforcement agencies. Simulators are certified by the manufacturer on an annual basis.

**RETENTION:** Years: 3 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 7529

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016

**TITLE:** CDC Test Results on Referral Specimens - Lab Copy

**CUTOFF:** Date of reporting

**DESCRIPTION:** Copies of test result reports from specimen referrals sent to the Centers for Disease Control (CDC). Records are maintained by the Microbiology, Virology, Tuberculosis, and Immunology testing units per Clinical Laboratory Improvement Amendments (CLIA) 42 CFR 493.1105(a)(6).

**RETENTION:** Years: 6 Months: 0 Days: 0

**NOTES:** Original record is kept by the CDC.

**DISPOSITION ACTION:** HIPAA-Compliant Shred

**SERIES:** 7542

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016



### Agency Records Disposition Schedule

Department: Department of Health and Senior Services

Section: State Public Health Laboratory

Division: Department Directors Office

Sub-Section:

**TITLE:** Chemistry Unit Records

**CUTOFF:** End of Calendar Year

**DESCRIPTION:** Documents related to water and food testing. Records include, but are not limited to, logs, sheets, test request forms, instrument reports and final test reports. Excludes records that fall under Clinical Laboratory Improvement Amendments (CLIA) 42 CFR 493 and American Industrial Hygiene Accreditation (AIHA).

**RETENTION:** Years: 2 Months: 0 Days: 0

**NOTES:** For CLIA and AIHA records, see series 7534, 23238, and 23241.

**DISPOSITION ACTION:** Destroy

**SERIES:** 7537

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016

**TITLE:** Clinical Analytical Systems Quality Control Records

**CUTOFF:** Life of clinical analytical system

**DESCRIPTION:** Quality control records documenting all analytical systems activities specified in 42 CFR 493.1252—493.1289. Records include, but are not limited to, maintenance records for various instruments and equipment, problem logs, compliance reports, quality assurance monitoring documents, and management reviews. Records kept per 42 CFR 493.1105, Clinical Laboratory Improvement Amendments (CLIA).

**RETENTION:** Years: 2 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23235

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016

**TITLE:** Clinical Analytical Systems Routine Records Logs

**CUTOFF:** End Of Calendar Year

**DESCRIPTION:** Quality control records documenting all analytical systems activities specified in 42 CFR 493.1252—493.1289. Records include, but are not limited to, clinical unit's daily, weekly or monthly instrument printouts and worksheets, final assay results lists. Records kept per 42 CFR 493.1105, Clinical Laboratory Improvement Amendments (CLIA).

**RETENTION:** Years: 2 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 24496

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016



**Agency Records Disposition Schedule**

Department: Department of Health and Senior Services

Section: State Public Health Laboratory

Division: Department Directors Office

Sub-Section:

**TITLE:** Clinical Laboratory Test Results - Patients Fourteen Years of Age or Older

**CUTOFF:** End of calendar year in which results are received

**DESCRIPTION:** Final results for clinical laboratory testing for patients age fourteen or older. Includes Blood Lead test request forms. Records kept per the Clinical Laboratory Improvement Act (CLIA) Section 493.1105 and 516.105 RSMo.

**RETENTION:** Years: 6 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** HIPAA-Compliant Shred

**SERIES:** 23233

**SERIES STATUS:** Approved

**APPROVAL DATE:** 11/15/2016

**TITLE:** Clinical Laboratory Test Results - Patients Thirteen Years of Age or Younger

**CUTOFF:** End of calendar year in which results are received

**DESCRIPTION:** Final results of clinical laboratory testing for patients age thirteen or younger. Includes Blood Lead Test Request Forms and Newborn Screenings. Records kept per the Clinical Laboratory Improvement Amendments (CLIA) Section 493.1105 and 516.105 RSMo.

**RETENTION:** Years: 20 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** HIPAA-Compliant Shred

**SERIES:** 23234

**SERIES STATUS:** Approved

**APPROVAL DATE:** 11/15/2016

**TITLE:** Clinical Patient Test Requests and Demographic Forms

**CUTOFF:** End of calendar year in which results are received

**DESCRIPTION:** Submitted patient test request forms for clinical testing. Records include, but are not limited to, newborn screening collection forms submitted by hospitals. Excludes Blood Lead Forms. Records kept per the Clinical Laboratory Improvement Act (CLIA) Section 493.1105(a)(1).

**RETENTION:** Years: 6 Months: 0 Days: 0

**NOTES:** See series 23233 and 23234 for Blood Lead Forms.

**DISPOSITION ACTION:** HIPAA-Compliant Shred

**SERIES:** 23232

**SERIES STATUS:** Approved

**APPROVAL DATE:** 11/15/2016



## Agency Records Disposition Schedule

Department: Department of Health and Senior Services

Section: State Public Health Laboratory

Division: Department Directors Office

Sub-Section:

**TITLE:** Corrective Action Reports

**CUTOFF:** Life of instrument or procedure

**DESCRIPTION:** Corrective action reports resulting from testing and data-entry discrepancies, nonconformance, proficiency testing problems, deviations from management systems policies and procedures, external or internal audit findings, and customer complaints.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23251

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016

**TITLE:** Employee Training and Competency Records

**CUTOFF:** Separation from employment

**DESCRIPTION:** Documentation to validate that new and current employees are trained and are competent to perform all work assignments in the testing area. Records include, but are not limited to, laboratory training and competency checklists and authorization forms. Records created per 40 CFR 130.4 and maintained per 40 CFR 141.33 and Clinical Laboratory Improvement Amendments (CLIA) Sec. 493.1105.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23242

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016

**TITLE:** Environmental Bacteriological Water and Media Records and Test Result Reports

**CUTOFF:** End of Calendar Year

**DESCRIPTION:** Final test result reports created by the Environmental Bacteriological Testing Unit for monthly public, private, and recreational water testing. Records include, but are not limited to, daily instrument reports, worksheets, logs, equipment and instrument maintenance, customer feedback and corrective actions for water and media quality control materials per the Environmental Protection Agency. Records created per 40 CFR 130.4 and maintained per 40 CFR 141.33.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 7536

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016



**Agency Records Disposition Schedule**

Department: Department of Health and Senior Services

Section: State Public Health Laboratory

Division: Department Directors Office

Sub-Section:

**TITLE:** Environmental Bacteriology Food Analysis Records

**CUTOFF:** End of Calendar Year

**DESCRIPTION:** Quality control documents used in the testing of food samples. Records include, but are not limited to, instrument reports, worksheets, logs, and final test result reports of food samples for surveillance per the National Antibiotic Resistant Meat Surveillance (NARMS), and Food Emergency Response Network (FERN) programs.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 7538

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016

**TITLE:** Environmental Bacteriology Water Lab Evaluations and Certifications

**CUTOFF:** End of calendar year in which survey is complete

**DESCRIPTION:** The Environmental Bacteriology Unit inspects and certifies water laboratories throughout the state per the Environmental Protection Agency (EPA) 40 CFR 141.66. Records include, but are not limited to, reports containing the results of water lab evaluations and proficiency testing. Records kept per 40 CFR 141.33(c).

**RETENTION:** Years: 6 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23236

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016

**TITLE:** Environmental Lead Analysis

**CUTOFF:** End of Calendar Year

**DESCRIPTION:** Records created per American Industrial Hygiene Association (AIHA) 2C.7 requirements. Records include, but are not limited to, environmental lead log-in sheets, test request forms, instrument reports, and final test reports for wipes, soils and paints. Records retained per 19 CSR 20-8.030.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23238

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016



**Agency Records Disposition Schedule**

Department: Department of Health and Senior Services

Section: State Public Health Laboratory

Division: Department Directors Office

Sub-Section:

**TITLE:** High-Risk Newborn Case Logs

**CUTOFF:** End of Calendar Year

**DESCRIPTION:** Screening reports with corresponding result data, communication documents, and follow-up confirmatory results for newborns who are high-risk for disorders. Records kept per the Clinical Laboratory Improvement Amendments (CLIA) Sec. 493.1105 and 516.105(3) RSMo.

**RETENTION:** Years: 6 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** HIPAA-Compliant Shred

**SERIES:** 23240

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016

**TITLE:** Instrument Service Reports and Validations

**CUTOFF:** Life of Instrument

**DESCRIPTION:** Reports provided by service engineers stating what repairs or preventive maintenance were conducted on the instruments. Records include, but are not limited to, results from various experiments and quality control checks done to validate that a new instrument or method is working properly per the Clinical Laboratory Improvement Amendments (CLIA) Sec. 493.1105. EPA Records created per 40 CFR 130.4 and maintained per 40 CFR 141.33 and the American Industrial Hygiene Accreditation 2C.7.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23241

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016



**Agency Records Disposition Schedule**

Department: Department of Health and Senior Services

Section: State Public Health Laboratory

Division: Department Directors Office

Sub-Section:

**TITLE:** Laboratory Policies and Procedures

**CUTOFF:** When superseded or outdated

**DESCRIPTION:** Manuals, Standard Operating Procedures (SOPs), and forms documenting pre- through post-analytical laboratory procedures. Records produced by lab personnel to monitor trends. Records include, but are not limited to, quarterly and yearly management reports for all methods used by the State Public Health Laboratory. Retained per the Clinical Laboratory Improvement Amendments (CLIA) Sec. 493.1105.2. Environmental Protection Agency 40 CFR 141.33, American Industrial Hygiene Accreditation 2C.7, and Select Agent (SA) 42 CFR 73.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 7534

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016

**TITLE:** Laboratory Response Network-Biological (LRN-B) Records

**CUTOFF:** End of Calendar Year

**DESCRIPTION:** Records associated with potential exposure events and the Federal Bureau of Investigations (FBI). Records include, but are not limited to, microbiology and molecular unit log-in sheets used to assign a sample an identification number, instrument reports, and quality control documents related to LRN-B testing and activities.

**RETENTION:** Years: 2 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Permanent - Transfer to Missouri State Archives

**SERIES:** 23237

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016



**Agency Records Disposition Schedule**

Department: Department of Health and Senior Services

Section: State Public Health Laboratory

Division: Department Directors Office

Sub-Section:

**TITLE:** Milk Laboratory Evaluation and Certification Records

**CUTOFF:** End of calendar year of laboratory evaluation officer audit

**DESCRIPTION:** Records regarding milk laboratory evaluations and proficiency testings performed by the State Public Health Laboratory (SPHL) on commercial, industrial, or local government milk laboratories as required by the Food and Drug Administration (FDA) for milk laboratory certification and inclusion on the Interstate Milk Shippers (IMS) list. Records include, but are not limited to, official milk laboratory forms (FDA-2400 Series Forms), Grade A Milk Laboratory Evaluation Request and Agreement Forms, evaluation responses, compliance documentation, certificates, narrative reports, and related correspondence. Records kept per the FDA "Evaluation of Milk Laboratories" Manual.

**RETENTION:** Years: 4 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 7540

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016

**TITLE:** Proficiency Testing Result Reports

**CUTOFF:** End of Calendar Year

**DESCRIPTION:** Records regarding proficiency testing (PT) of all tests performed by the State Public Health Lab. PT results are used to help with employee training, competencies, and instrument troubleshooting. Records include, but are not limited to, PT result evaluations and summaries provided by PT companies.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23250

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016



**Agency Records Disposition Schedule**

Department: Department of Health and Senior Services

Section: State Public Health Laboratory

Division: Department Directors Office

Sub-Section:

**TITLE:** Pulse Field Gel Electrophoresis (PFGE) Data

**CUTOFF:** End of calendar year in which data is generated

**DESCRIPTION:** Bacterial fingerprinting data generated by PFGE and used by the Centers for Disease Control to identify disease outbreaks throughout the United States. Records related to each result are kept for historical purposes. Records include PFGE-generated pictures and related documents.

**RETENTION:** Years: 0 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Permanent - Transfer to Missouri State Archives

**SERIES:** 24497

**SERIES STATUS:** Approved

**APPROVAL DATE:** 11/15/2016