



Minnesota  
Department  
of Health

PROTECTING, MAINTAINING AND IMPROVING THE HEALTH OF ALL MINNESOTANS

April 8, 2016

Minnesota Historical Society  
Minnesota State Archives  
C/o Mr. Charles Rodgers  
345 Kellogg Blvd. West  
St. Paul, MN 55102-1906

Dear Mr. Rodgers:

Please find enclosed three copies of the Local Public Health Service General Records Retention Schedule for Counties. It was endorsed on February 18, 2016 by the Local Public Health Association. The endorsement is enclosed with this letter. This schedule will supersede the 1988 Community Nursing Services General Records Retention Schedule for Counties after it has been approved by the State Records Disposition Panel.

Please contact me if you have any questions. Thank you.

Sincerely,

A handwritten signature in black ink that reads "Chris Johnson". The signature is fluid and cursive, with the first name "Chris" and last name "Johnson" clearly legible.

Chris Johnson  
Records Manager  
Minnesota Department of Health  
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Enclosures

# Local Public Health Service Section Minnesota General Records Retention Schedule for Counties

State of Minnesota  
April 2016

#016-095

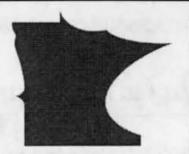
Minnesota Historical Society <i>Charles Rodgen</i>	Date 27 April 2016
State Auditor <i>Paul Ramsey</i>	Date 9/22/16
Attorney General <i>Peter Nolte</i>	Date 9/27/16

# Local Public Health Service

## Minnesota Records Retention Schedule

- 1 Administrative**
  - 1-01 Advisory Committee Meetings
  - 1-02 Assessment and Planning Documents
  - 1-03 Authorizations
  - 1-04 Board Agenda and Meeting Minutes
  - 1-05 Community Health Services Reports
  - 1-06 Contracts and Grant Agreements
  - 1-07 General Department Office Meetings
  - 1-08 General Operations
  - 1-09 HR Employee Medical Monitoring
  - 1-10 HR Personnel Records
  - 1-11 Inventory of Physical Environment
  - 1-12 Management Records (for client services)
  - 1-13 Management Records (for program controls)
  - 1-14 Public Health Policies and Procedures
- 2-01 Emergency Medical Services**
- 3 Emergency Preparedness**
  - 3-01 Incident Response
  - 3-02 Plans
- 4 Environmental Health**
  - 4-01 Clandestine Lab Site Complaint and Investigation Records - Database Log Documentation
  - 4-02 Complaint and Investigation Records - Database Log
  - 4-03 Complaint and Investigation Records - Investigation Documents
  - 4-04 License Applications and Inspection Reports
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- 5 Patient/Client Records**
  - 5-01 Car Seat Program
  - 5-02 Correctional Health
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  - 5-04 Individual Services
  - 5-05 Individual Services Special Categories (for example: CMS cost report clients or Medicare managed care program provider clients)
  - 5-06 Slight Service
  - 5-07 WIC

**Minnesota  
Records  
Retention  
Schedule**

<b>Department:</b>	<b>Local Public Health Service</b>
	Director, MN Historical Society
	Attorney General
	Legislative Auditor

Schedule #:
Approve Date:

**Revision of: 1988 General Records Retention Schedule for Counties**

Item No.	Record Series Title/Description and Notes	Retention Instructions	Supporting Statutes, Rules or Regulations	Data Class	Vital? (Yes/No)	Archival (Yes/No)
1-01	<b>Administrative: Advisory Committee Meetings</b> Committees including, but not limited to public health advisory, taskforces, citizen advisory, commissions and other board related groups maintained by the department. Note-these groups are advisory and not decision making.	5 years and then transfer to the Minnesota Historical Society.		Public	No	Yes
1-02	<b>Administrative: Assessment and Planning Documents</b> May include, but is not limited to the organizational strategic plan, the community health assessment and the community health improvement plan.	Until superseded and then destroy.	<u>MS 13.03</u>	Public	No	NO
1-03	<b>Administrative: Authorizations</b> Documentation that includes, but is not limited to physician standing orders, vaccine protocols, Clinical Laboratory Improvements Amendments (CLIA) certificates.	Current version, plus 2 previous then destroy.		Public	No	NO
1-04	<b>Administrative: Board Agenda and Meeting Minutes</b> Document that includes, but is not limited to official community health board meetings. May include official business documents including agendas and meeting minutes.	Permanent		Public	No	yes

Item No.	Record Series Title/Description and Notes	Retention Instructions	Supporting Statutes, Rules or Regulations	Data Class	Vital? (Yes/No)	Archival (Yes/No)
1-05	<b>Administrative: Community Health Services Reports</b> Includes, but are not limited to annual reports, data to support the annual reports, assessment and planning reports, surveillance data and Medicare cost report.	10 years from date of report then destroy.	MS 13.03 MS 13.384	Public Not Public	No	yes
1-06	<b>Administrative: Contracts and Grant Agreements</b> Original, signed contracts, agreements, leases, and supporting documentation.	6 years after the end of the contract period then destroy; or for such longer periods as required by applicable law or regulation.	MS 13.03 MS 541.05 MS 13.35 MS 13.37 Subd 1(B)	Public	Yes (Assessment needed)	NO
1-07	<b>Administrative: General Department Office Meetings</b> Includes but not limited to meeting agendas and minutes of staff meetings, internal committees, internal task forces and other organizational meetings.	Retain 1 year after meeting then destroy.		Public	No	NO
1-08	<b>Administrative: General Operations</b> Budget, accounts payable, accounts receivable and billing claims.	Refer to County Retention Schedule.	--	--	--	--
1-09	<b>Administrative: HR Employee Medical Monitoring</b> May include, but is not limited to employee required Tuberculosis (TB) Skin testing and Hepatitis B vaccination records.	Refer to County Retention Schedule.	--	--	--	--
1-10	<b>Administrative: HR Personnel Records</b> Documentation of employment records such as position descriptions, performance reviews, employee training records and training plans, etc.	Refer to County Retention Schedule.	--	--	--	--
1-11	<b>Administrative: Inventory of Physical Environment</b> Includes but is not limited to physical assets such as desks, chairs, computers, telephones, bookshelves, vehicles, and WIC equipment lists.	Refer to County Retention Schedule.	--	--	--	--

Item No.	Record Series Title/Description and Notes	Retention Instructions	Supporting Statutes, Rules or Regulations	Data Class	Vital? (Yes/No)	Archival (Yes/No)
1-12	<b>Administrative: Management Records (for client services)</b> Includes, but not limited to appointment schedules used for various programs, case management reports, clinical record reviews. These are records that are not specific to an individual client and would not be retained as a part of a client record.	Until superseded and then destroy.	<u>MS 13.3805</u> <u>MS 13.384</u> <u>MS 144.293 &amp; 294</u> <u>MS 144.651;</u> <u>45 CFR 164 (HIPPA)</u>	Not Public	No	NO
1-13	<b>Administrative: Management Records (for program controls)</b> Includes but not limited to IPI visit documentation, refrigerator temperature logs, MnVFC records, hazardous waste disposal records, laboratory QA records, medication/testing supply inventories and syringe/needle inventories.	3 years and then destroy.		Public	No	NO
1-14	<b>Administrative: Public Health Policies and Procedures</b> Documentation of policies and procedures related to public health.	Current and one previous version.		Public	No	NO
2-01	<b>Emergency Medical Services:</b> General service statistics monitoring emergency medical services and data on services provided throughout the County, minutes from task force meetings.	6 years from date of report then destroy.	<u>MS 13.384</u>	Not Public	No	NO
3-01	<b>Emergency Preparedness: Incident Response</b> Plans and documentation relating to and resulting from responses (both exercises and real events) to public health incidents and emergencies, including After Action Reports.	3 years after closure of response activities then destroy.	<u>MS 13.37</u>	Not Public	Yes	NO
3-02	<b>Emergency Preparedness: Plans</b> Plans and documentation relating to the preparation for public health emergencies, such as pandemic disease also including emergency preparedness stockpile/cache.	Until superseded.	<u>MS 13.03</u> <u>MS 13.37</u> <u>MS 13.43</u>	Not Public	Yes	NO
4-01	<b>Environmental Health: Clandestine Lab Site Complaint and Investigation Records – Database Log Documentation</b> Documentation of public health investigations into environmental health issues related to clandestine lab site. Database log of pertinent investigation data.	Permanent	<u>MS 152.0275</u>	Public	No	NO

Item No.	Record Series Title/Description and Notes	Retention Instructions	Supporting Statutes, Rules or Regulations	Data Class	Vital? (Yes/No)	Archival (Yes/No)
4-02	<b>Environmental Health: Complaint and Investigation Records - Database Log</b> Documentation of public health nuisance complaints and investigations into environmental health issues. Database log of pertinent investigation data.	10 years after closure and then destroy.	<u>MS 13.39</u>	Not Public Public	No	No
4-03	<b>Environmental Health: Complaint and Investigation Records - Investigation Documents</b> Documentation of public health nuisance complaints and investigations into environmental health issues. Includes documents related to the complaint and investigation process, and any records of active investigations that are part of a criminal proceeding.	10 years after closing and then destroy.	<u>MS 13.39</u>	Not Public Public	No	No
4-04	<b>Environmental Health: License Applications and Inspection Reports</b> Includes, but is not limited to food, pools and lodging such as manufactured home parks recreational camping and lodging establishment, blueprints, equipment specifications and plans.	10 years and then destroy.	<u>MS 13.03</u> <u>MS 13.44</u> <u>MS 13.82</u> <u>MS 13.37</u>	Not Public Public	Yes (applies to specific parts of records)	No
4-05	<b>Environmental Health: Testing Data (Database)</b> Includes but not limited to Radon & well water testing, Database used to collect information from voluntary testing.	10 years and then destroy.		Public	No	No
5-01	<b>Patient/Client Records: Car Seat Program</b> May include, but is not limited to client eligibility information, model of car seat received and education provided.	7 years from date of issuance then destroy.	<u>MS 13.3805</u> <u>MS 13.384</u> <u>MS 144.293 &amp; 294</u> <u>MS 144.651;</u> <u>45 CFR 164 (HIPPA)</u>	Not Public	No	No
5-02	<b>Patient/Client Records: Correctional Health</b> May include assessment, treatment, medication, and other health records that are maintained by public health. If maintained at the correctional facility, follow their retention policy.	2 years after jail discharge or for such longer periods as required by applicable law or regulation.	<u>MS 13.3805</u>	Not Public	No	No

Item No.	Record Series Title/Description and Notes	Retention Instructions	Supporting Statutes, Rules or Regulations	Data Class	Vital? (Yes/No)	Archival (Yes/No)
5-03	<b>Patient/Client Records: Immunizations</b> May include but is not limited to information sent to state registry such as name, BD, parent or guardian, demographics, vaccine, date given, lot number, site and program eligibility, local case records such as consent to administer signatures, VIS date given, service site, screening for contraindications, varicella history and verification details.	5 years for information not stored in the registry. Client immunization information uploaded to state sponsored registry shall be managed by MDH and shall be kept according to their retention policy.	<u>MS 13.3805</u>	Not Public	No	NO
5-04	<b>Patient/Client Records: Individual Services</b> Includes, but not limited to records of client cases open to public health programs that may include family health, migrant health, family planning services, CT&C, disease prevention and control-client investigation records, screening programs. May include assessments, care plans, medical data, progress notes, financial and insurance information, transfers, referrals and related case management data and individual adverse events following vaccination records.	7 years after closure or until client reaches age 25, whichever is later then destroy.	<u>MS 144.291-294</u> <u>MS 144.336</u> <u>MS 144.651</u> <u>MS 541.05, MS 13.3805</u> <u>MS 13.384, MS 13.32, 45 CFR 164 (HIPPA),</u> <u>MS 13.06 and MS 13.03</u>	Not Public	No	NO
5-05	<b>Patient/Client Records: Individual Services Special Categories (for example CMS cost report clients or Medicare managed care program provider clients)</b> Includes but not limited to records or client cases open to public health programs that may include CMS cost report clients, Medicare managed care programs, home care, Medicare fee for service, and waiver services. May include assessments, care plans, medical data, progress notes, financial and insurance information, transfers, referrals and related case management data, and individual adverse events following vaccination records (federal report).	10 years after closure or current federal regulations; whichever is later then destroy.	<u>MS 13.3805</u>	Not Public	No	NO

Item No.	Record Series Title/Description and Notes	Retention Instructions	Supporting Statutes, Rules or Regulations	Data Class	Vital? (Yes/No)	Archival (Yes/No)
5-06	<p><b>Patient/Client Records: Slight Service</b>            Where a case record was not opened. May include but is not limited to intake documents, initial referrals/ screening, or releases of information. Either no service or minimal follow up as part of intake. May also include services where slight service completed and results/ materials forwarded to a third party who maintains the records e.g. paternity testing, non-investigative TB skin testing, documentation of immunization USCIS Form I693.</p>	5 years after service completed then destroy.	<u>MS 13.3805</u>	Not Public	No	
5-07	<p><b>Patient/Client Records: WIC</b>            May include but is not limited to local case records prior to Hubert and state records with initiation of Hubert. Includes case records, voucher receipts, other individual WIC records.</p> <p><b>See also: MN WIC Operations Manual and Grant Project Agreement</b></p>	6 years past closure if not scanned in to the state sponsored web-based or other current state system.	<u>MS 13.03, MS 13.384</u> <u>MS 13.46, MS 13.03</u> <u>MS 13.3805, MS 13.384</u> <u>MS 144.293 &amp; 294</u> <u>MS 144.651; MS 541.05</u> <u>45 CFR 164 (HIPPA)</u>	Not Public	No	



State Records Disposition Panel  
c/o Minnesota State Archives  
345 West Kellogg Boulevard  
St. Paul, MN 55102

April 7, 2016

RE: Record Retention Schedule for Local Public Health Service

To Whom It May Concern:

On behalf of the Local Public Health Association of Minnesota (LPHA) and our more than 200 members of public health leaders from city, county and tribal public health departments across the state, I write to express our support for the proposed Record Retention Schedule for Local Public Health Service, which provides important revisions to the 1988 General Records Retention Schedule for Counties.

For the past several months, LPHA members have worked closely with staff from the Minnesota Department of Health to review existing record retention schedules, propose necessary updates to the 1988 Schedule and obtain feedback from local public health staff throughout the state. The culmination of their efforts produced the updated Record Retention Schedule now submitted to you for approval.

This Schedule has been presented to and vetted by the LPHA membership, and members approved a formal motion on February 18, 2016, to submit it the State Records Disposition Panel for approval.

The updated Record Retention Schedule for Local Public Health Service will provide Minnesota's local public health departments needed guidance on proper record retention practices, which have changed significantly over time due to advances in technology. We respectfully ask the Panel to approve this Schedule.

Best regards,

Lorna Schmidt, Executive Director  
Local Public Health Association of MN  
[lschmidt@mncounties.org](mailto:lschmidt@mncounties.org)  
(651) 789-4354



**Public Health**  
Prevent. Promote. Protect.