



Cabinet for Health and Family Services

# Department of Public Health

Records Retention Schedule

Prepared by the State Records Branch

Archives and Records Management Division

Approved by the State Libraries, Archives, and Records Commission



Kentucky Department for Libraries and Archives

This records retention schedule governs retention and disposal of records created, used, and maintained by this agency. **Government records in Kentucky can only be disposed of with the approval of the State Libraries, Archives, and Records Commission (the Commission). If records do not appear on a Commission-approved records retention schedule, agencies should not destroy those records.** This agency-specific schedule was drafted by agency personnel and Archives and Records Management Division staff and reviewed and approved by the Commission. This schedule provides the legal authority for this agency to destroy the records listed, after the appropriate retention periods have passed.

Agency personnel should use this agency-specific schedule in combination with the *General Schedule for State Agencies (General Schedule)*, also approved by the Commission. The *General Schedule* applies to records that are created, used, and maintained by staff at all or most state agencies. Agency-specific retention schedules are used only by specific agencies and apply to records that are created only by a particular state agency, or to records that a state agency is required to retain longer than the approved time period on the *General Schedule*. The *General Schedule* and agency-specific retention schedule should cover all records for this agency.

This retention schedule applies to state agency records and information regardless of how it is created or stored. For example, information created and sent using e-mail is as much a public record as materials created or maintained in paper. Kentucky law defines public records, in part, as "documentary materials, *regardless of physical form or characteristics*, which are prepared, owned, used, in the possession of or retained by a public agency" (KRS 171.410[1]). This means that records management standards and principles apply to all forms of recorded information, from creation to final disposition, regardless of the medium. Records retention scheduling is important in developing, using, and managing computer systems and other electronic devices. Records management practices encourage cost-effective use of electronic media through accurate retention scheduling and legal destruction of records.

**All state government employees are responsible for maintaining records according to the retention schedule, whether those records are stored electronically or in paper. Information must be accessible to the appropriate parties until all legal, fiscal, and administrative retention periods are met, regardless of the records storage medium.**

### **Audits and Legal Action**

Agency records may be subject to fiscal, compliance or procedural audit. If an agency should maintain records longer than the approved retention period, as may be the case with some federal audits, then all affected records should be retained until the audit has been completed and the retention period met. In no case should records that are subject to audit be destroyed until the audit has been completed and retention periods met, or the records have been officially exempt from any audit requirements.

Records may also be involved in legal or investigative actions, such as lawsuits, administrative hearings, or open records matters. These records must be retained at least until all legal or investigative matters have concluded, regardless of retention period. This includes all appeals of lawsuits.

### **Vital Records**

Vital records are essential to the continued functioning of an agency during and after an emergency. Vital records are also essential to the protection of the rights and interests of an

agency and of the individuals for whose rights and interests it has a responsibility. Vital records are identified in the retention schedule with a (V).

### **Confidential Records**

While all records created, used, and maintained by government agency personnel are public records, not all of those records are open to public inspection. Whether a record is open to public inspection is determined by the state's Open Records laws and other relevant state or federal statutes and regulations. Restriction of public inspection of confidential records may apply to the whole record or only to certain information contained in the record.

Kentucky's public records are considered open for public inspection unless there is some specific law or regulation that exempts them. Agency personnel who believe certain records are confidential should submit a citation from Kentucky Revised Statutes, Administrative Regulations, Code of Federal Regulations, or similar authority. **State agency heads have the responsibility to know all the appropriate confidentiality laws, statutes and regulations that apply to the records maintained by their agency and to see that those laws are enforced.** Even though a record series may or may not be marked confidential on a retention schedule, contradictory laws or regulations that are passed after the schedule has been approved must be honored.

### **Copies of Records**

Agency personnel often make copies of records for internal use or reference purposes. Agencies should designate one copy as the official copy and make sure it is retained according to the records retention schedule. Agencies can destroy all other copies when no longer useful.

### **Updating the Retention Schedule**

Per 725 KAR 1:010, the head of each state government agency is required to designate a member of his or her staff to serve as a records officer. The agency records officer represents that agency in its records-related work with the Archives and Records Management Division. The agency records officer is responsible for assisting the Archives and Records Management Division in drafting a records retention schedule, and in finding any schedule updates to bring before the Commission. The retention schedule should be reviewed on a regular basis to suggest appropriate changes to the Commission.

**Cabinet for Health and Family Services**  
**Department for Public Health**

The Department for Public Health, within the Cabinet for Health and Family Services, is the sole organizational unit of Kentucky's state government responsible for developing and operating all public health programs and activities for the citizens of Kentucky. These activities include health service programs for the prevention, detection, care, and treatment of physical disability, illness and disease.

The department contains seven divisions: Administrative and Financial Management; Epidemiology and Health Planning; Laboratory Services; Maternal and Child Health; Prevention and Quality Improvement; Public Health Protection and Safety; and Women's Health. There are twenty-five branches and numerous programs under the department.

The department is authorized under KRS 194A.030. It is headed by a commissioner for public health who is appointed by the Cabinet Secretary with the approval of the Governor. The Commissioner for Public Health is a duly licensed physician who by experience and training in administration and management is qualified to perform the duties of this office. The commissioner advises the head of each major organizational unit. The commissioner serves as chief medical officer of the Commonwealth.

# RECORDS RETENTION SCHEDULE

## Signature Page

Department for Public Health

June 8, 2006

Agency

Schedule Date

September 14, 2023

Unit

Change Date

September 14, 2023

Date Approved By Commission

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## APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:

*Patricia Okeson*

Agency Head

9/5/2023

Date of Approval

*Matt Hall*

Agency Records Officer

09/01/2023

Date of Approval

DocuSigned by:  
*Dunip*

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State Archivist and Chairman, State  
Libraries, Archives, and Records  
Commission

9/18/2023

Date of Approval

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The undersigned Archives and Records Management Division staff have examined the record items and recommend the disposition as shown:

*Taylor Metzger*

Records Analyst/Regional Administrator

08/30/2023

Date of Approval

DocuSigned by:  
*Jr*

767A3F5C540E417...  
Appraisal Archivist

9/15/2023

Date of Approval

DocuSigned by:  
*CMB*

F25F52B0E6434BA...  
State/Local Records Branch Manager

9/15/2023

Date of Approval

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The determination as set forth meets with my approval.

DocuSigned by:  
*Graham Gray*

B0957BB509E3413...  
Auditor of Public Accounts

on behalf of

9/18/2023

Date of Approval

**Archives and Records Management Division  
Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Cabinet for Health and Family Services  
Department for Public Health

Record Group  
Number  
**1442**

Series	Records Title and Description	Function and Use
00828	<b>Special Studies</b>	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Retention and Disposition</b>	Retain permanently in Agency
04156	<b>Nurses' Daily Log</b>	This series documents the visits of individuals to the nurses station. It identifies the day and time that clients/patients come in, and a code identifying the purpose of the visit.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a). Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Time; Name of client/patient; Diagnostic code.
	<b>Retention and Disposition</b>	Retain in Agency five (5) years and destroy
04157	<b>Client/Patient Medical File</b>	This series documents patient information limited to the responsibilities and practices of the Occupational Health Nurse(s). The nurse is not permitted to do medical examinations or diagnoses. He/She is to provide an initial nursing response for employees or persons who become ill or suffer an accident on the premises served by the assigned station. The nurse may administer first aid and summons emergency medical transportation when needed; monitor health signs such as blood pressure, pulse, temperature, and weight; administer non-prescription medication as needed; make a nursing assessment of employee health, make referrals, and provide continuing employee health care consistent with physician employer. This record verifies a patients visit, how the individual was feeling, if blood pressure was checked, and if a referral was made. The nurse can recommend that an employee go home for the day. *Reference will vary with each individual.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a). Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Name of client/patient; Date of visit; Time; Diagnostic Code; Department of client; What was done.
	<b>Retention and Disposition</b>	Retain in Agency and destroy five (5)years after last date of service

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health

Record Group  
Number  
**1442**

Series	Records Title and Description	Function and Use
06409	<b>Files of Dr. Russell E. Teague, Commissioner of Health (1956-1970)</b>	CLOSED: This series documents the official documents of Dr. Russell E. Teague, Commissioner of Public Health, during his appointment from 1956 - 1970.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: State Board of Health Bulletins; Special Reports and Studies; Correspondence; Speeches
	<b>Retention and Disposition</b>	These transferred to State Archives Center for permanent retention on January-April, 1971

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Public Health Protection and Safety, Division of

Record Group  
Number  
**1442C**

Series	Records Title and Description	Function and Use
03270	<b>X-Ray Facility Files</b>	This file documents information relating to x-ray equipment requiring inspection and registration. It provides facility inspection data related to radiographics, dental, fluoroscopic, and operator certification. It documents facility licensing, technologist certification, correspondence, and payment schedules. The manual file provides an inspection history for a five year period. The system file contains data concerning the two most current inspections. All previous inspection data is contained in a detail file.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Manual file contents: Application for license, license issued, certification issued, inspection forms, correspondence, payment schedules, inspection schedule, inspection reports.
	<b>Retention and Disposition</b>	Retain in Agency and destroy hard copy five (5) years after retirement of facility file and audit. Delete information from the system six months after retirement of the file.
03271	<b>Radioactive Material (RAM), Invitro/Invivo Facility Files</b>	This file documents information relating to facilities that produce or package radioactive materials and tracks possible effects of exposure to radioactive materials. It provides facility inspection data, documents facility licensing, correspondence, and payment schedules. The manual file provides an inspection history for a five year period. The system file contains inspection data for the two most current inspections. All previous inspection data is contained in a detail file.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Manual file contents: application for license, license issued, certification issued, inspection forms, correspondence, payment schedules, inspection schedule, inspection reports. Relevant data elements for the electronic file are found in contents for the system D&A for RAPSIS - SN 03269.
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; transfer hard copy to State Archives for permanent retention. Delete information from the system six months after retirement of file.
03275	<b>RAPSIS Monthly Activity Reports</b>	This is a monthly listing of all inspection activity and correspondence that has taken place in each reporting area. It represents a compilation of the following reports: Facility Profile Listing, Daily Inspection Registers, Automatic Letters Register, Facilities Not Inspected on Time, Facilities to be Inspected, and Non Compliance Report.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Current monthly and year-to-date totals for all data gathered in periodic reports. (See attachment B for data elements)
	<b>Retention and Disposition</b>	Retain year-end printout in agency for two (2) years. Update system as needed.



# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Public Health Protection and Safety, Division of

Record Group  
Number  
**1442C**

Series	Records Title and Description	Function and Use
03537	<b>Public Swimming and Bathing Facility File (V)</b>	<p>The series documents the proposed design and materials to be used in the construction of public swimming pools and bathing facilities. The Environmental Sanitation Branch, pursuant to 902 KAR Chapter 10, has the responsibility to review each plan to determine whether the treatment system (pumps, pipes, filters) complies with stated regulations. Plans that do not comply with the regulations are modified, approved, and returned to the Local Health Department with the understanding that the proper changes will be made. The Local Health Department, in cooperation with the contractor and/or architect issues the final plans, with the required modifications. The Environmental Sanitation Branch must then inspect each facility before it is opened to the public to ensure adherence to regulations. In addition, at least two (2) routine inspections will be completed during the first year of use to the public. This Series contains documentation that each public swimming pool and bathing facility has met state regulations through inspections of the completed facility.</p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series may contain: Plan No.; Dimensions of facility; Identification of structures around pool, deck drains, pipe valves, filtration area, sewage and drinking water connections; Dept. of Housing, Bldg, and Const. Single Submission Plan Application Form; Date of application; Name, address of facility; Owner; Architect; Engineer; Contractor; Volume of Water Supply, Gallons per Day, Type of Water, Type of Sewage Disposal; Percolation Test; Plant Waste, Waste Product expected; Method and Gallons/day of Disposal; Lighting, Ventilation, and Electrical requirements; Signature of Environmentalist; Date and Name of Health Dept.; inspections, inspector name, date and time of inspection; inspection checklist and recommendations.</p> <p><b>Retention and Disposition</b> Retain in Agency twenty (20) years after destruction of facility, then destroy.</p>
04377	<b>On-Site Sewage Systems and Wetlands Approval File</b>	<p>This series documents the application and approval process pursuant to KRS 211.350-380 for the construction, installation, or alteration of on-site sewage disposal systems (except for systems with a surface discharge or systems being installed on a farmstead as defined in KRS 318.010 (8)). The local health department serves as the agent of the Cabinet for Health and Family Services (CHFS) for the issuance of permits.</p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series may contain: Correspondence; Percolation Test Report; Construction Application and Permit; Application for Site Evaluation; On-site Sewage Site Evaluation; On-site Sewage Construction Installation Inspection Report; On Site Administrative Notices; Request for On-site Sewage Disposal Evaluation; Existing Sewage System Owners Affidavit; Notice of Approval of On-site Sewage System; Notice of Unapproved On-site Sewage System; On-site Sewage Installers Affidavit; Alternative Experimental On-site System Owners Affidavit</p> <p><b>Retention and Disposition</b> Retain in Agency two (2) years after the completion of the project; transfer to State Records Center for forty eight (48) years; destroy. Total retention is fifty (50) years.</p>
04378	<b>Complaint Records and Reports File</b>	<p>This series documents a complaint received by the Agency and the efforts of the Environmental Safety Branch, the local health department or a unit from the Department of Environmental Protection, Environmental and Public Protection to investigate, prevent or correct the nuisance problem(s) in public facilities or on public or private property.</p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series may contain: Letter of complaint, request for investigation; Inspection Report (County, type of inspection, code #s, name of facility, address, number of cells/units, sanitary facilities and controls, facilities and equipment, lighting, heating/cooling, ventilation, vermin control, bedding, safety issues, rating, comments, signatures); Photographs</p> <p><b>Retention and Disposition</b> Retain in Agency two (2) years after closure of the case; transfer to State Records Center for ten (10) years; destroy. Total retention is twelve (12) years.</p>

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Public Health Protection and Safety, Division of

Record Group  
Number  
**1442C**

Series	Records Title and Description	Function and Use
06381	<b>Standardization of Food Establishments File (V)</b>	This series documents the required procedures of food service establishments and retail food stores or any entity that sells, manufactures, provides or prepares food as part of their services, including temporary food establishments, in the Commonwealth to protect public health pursuant to 902 KAR 45:005 and the U.S. Food and Drug Administration (FDA) Food Code. This Series contains documentation regarding: (a) permits issued by the local health department to operate as a food establishment/entity, (b) certified food protection manager, (c) inspections (d) violations, and, (e) any corrective action taken. Permits are issued annually.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name, address, phone number of food service establishment or retail food store; name of certified food protection manager; type of food establishment, i.e. restaurant, grocery; permit to operate; inspections, date of inspection, inspector name; value point grading system; and if applicable, violations, corrections and date corrections are to be completed; suspension of permits; Application for Reinstatement of Suspended Permit; reinspections.
	<b>Retention and Disposition</b>	Retain in Agency for five (5) years from last date of inspection, then destroy.
06382	<b>Food Establishment File</b>	This series documents copies of any enforcement, suspension of permit, and quarantine actions, including any administrative hearings or court proceedings as a result of the suspension or quarantine action regarding regulated food service establishments and retail food stores pursuant to 902 KAR 45:005 Section 3 and the FDA Food Code that are provided to Cabinet for Health and Family Services (CHFS), Department of Public Health, Public Health Protection and Safety Division for informational purposes only. Food service establishments and retail food stores are regulated by local health departments and incorporated in the Local Agency Records Retention Schedule, Series L2175, Establishment Files, and the retention is destroy two (2) years after last date of activity.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name, address, permit holder or authorized agent of food establishment entity; date of inspection, violations and/or imminent public health hazard, date and reason of suspension; administrative hearing request; legal documentation if applicable.
	<b>Retention and Disposition</b>	Retain in Agency seven (7) years from date of final action, then destroy.
06383	<b>Food Manufacturing Plant Inspection File</b>	This series documents inspections of premises occupied or used to manufacture for sale, or the storage, distribution or transportation of food pursuant to the provisions of KRS 217.280 to 217.390 and the regulations promulgated thereto. This series also documents reviews of food labels regarding but not limited to number of servings, ingredients and weight pursuant to KRS. 217.037 and 15 U.S.C. 1451, Section 4, known as the Fair Packaging and Labeling Act.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name, address, phone number, and type of food manufacturing business; owner or manager of facility; date and time of inspection; inspector name; Inspector Report; and if applicable, violations and corrective measures.
	<b>Retention and Disposition</b>	Retain in Agency five (5) years, then destroy.

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Public Health Protection and Safety, Division of

Record Group  
Number  
**1442C**

Series	Records Title and Description	Function and Use
06384	<b>Inspection Reports</b>	This series documents inspection reports conducted on food storage warehouses, frozen food plants, and salvage firms pursuant to KRS 217.005 to 217.215
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name, type, and address of facility; name of inspector, date and time of inspection and findings.
	<b>Retention and Disposition</b>	Retain in Agency five (5 ) years, then destroy.
06385	<b>Food Service Establishment Report</b>	This series documents electronically the food service establishments inspections, grading, and if applicable, violations noted and corrective action. Inspections are conducted by the inspectors at the local health departments pursuant to KRS 217. 280 to 217.390 and data only is reported electronically to the Cabinet for Health and Family Services.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name, address, phone number, and county of the establishment; date of inspection; inspector name; and if applicable, violations and corrective action.
	<b>Retention and Disposition</b>	Retain in Agency five (5) years, then destroy
06386	<b>Mobile Home and Recreational Vehicle Parks File</b>	This series documents the permit and approval standards for the construction of a mobile home or recreational community operation/park to insure a safe and sanitary environment pursuant to KRS 219.310 - 219.410 and the promulgated regulations. The local health departments are responsible for the inspections and those records are retained per L2175, Establishment File, General Schedule for Local Government, and the retention is destroy two (2) years after last activity.
	<b>Access Restrictions</b>	KRS 61.878 (1) (a) - personal information of owner, i.e., Social Security Number. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	This series may contain: Construction Permit Application, including address, location, and owners name; map; site plan which includes standards for community construction and layout, service buildings, utilities, watering stations, sanitary stations, sanitation, lot size, water supply, sewage disposal, lighting, refuse handling, if applicable, size and location of playground area; hearing reports, issuance, suspension and revocation of permits, Inspection and Investigation Reports .
	<b>Retention and Disposition</b>	Retain in Agency five (5) years after closure of facility, then destroy.
06387	<b>Septic Tank Cleaners List</b>	This series documents the listing of septic tank cleaner permits issued in the Commonwealth of Kentucky pursuant to KRS 211.972 - 211.980 and 902 KAR 10:130 - 10.170 and issued by the local health departments. Applications are submitted to the local health department and incorporated in L2177, Applications for Permit to Operate, of the General Schedule for Local Government, and retention is two (2) years and destroy after audit. The Cabinet for Health and Family Services, Department for Public Health, works jointly with the local health departments to ensure the protection of public health and the environment regarding the licensing and septic tank servicing.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name, address, phone number, identification number of owner/operator; Reports, Bonds, and Affidavit
	<b>Retention and Disposition</b>	Retain in Agency five (5) years, then destroy.

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Public Health Protection and Safety, Division of

Record Group  
Number  
**1442C**

Series	Records Title and Description	Function and Use
<b>06410</b>	<b>Laboratory Analysis Report</b>	This series documents copies of laboratory reports of sample analysis taken at different types of facilities regulated by the Cabinet for Health and Family Services ("CHFS"). There are two (2) types of facilities that require sample analysis to be completed and reports prepared: 1. Facilities are regulated by CHFS, Department for Public Health, Public Health Protection and Safety Division - these reports/results are sent to the Division to be retained in the facility file, and, 2. Facilities regulated by the local health departments and the local health departments may then send copies of the reports to the Division to be retained.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Date, time and name of personnel conducting the sampling; name, address and county of location of facility; results (Duplicate)
	<b>Retention and Disposition</b>	Retain in Agency five (5) years, then destroy.
<b>06424</b>	<b>Milk Manufacturing Plant File</b>	This series documents the permitting and inspecting of milk manufacturers in Kentucky pursuant to the KRS Chapter 217 and 902 KAR 50:031.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name and address of manufacturer; Location of facility if different than address; application for permit; permit; manufacturing products; inspection reports, including date, time and name of inspector, inspection findings; examinations and laboratory test analysis; survey procedures.
	<b>Retention and Disposition</b>	Retain in Agency five (5) years after expiration of permit, then destroy.
<b>06427</b>	<b>Dairy Farms File</b>	This series documents applications for permits to operate as a dairy farm, including maintenance of the sanitation rating for Grade A milk producers, processors, and handlers pursuant to "Methods of Making Sanitation Ratings of Milk Supplies," a publication of the United States Public Health Service/Food and Drug Administration, KRS 217C.010 - 217C.990 and 902 KAR 50:100.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Application for permit; Name, address, and permit number; number of pounds of milk produced; inspections and reports; test method used; test results; laboratory analysis reports; marketing agency.
	<b>Retention and Disposition</b>	Retain in Agency five (5) years after expiration of permit, then destroy.

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Public Health Protection and Safety, Division of

Record Group  
Number  
**1442C**

Series	Records Title and Description	Function and Use
06428	<b>Milk Producer and Hauler Permit File</b>	This series documents permits issued to milk producers and milk haulers pursuant to KRS 217C.040 and their activities. 902 KAR 50:010 (22) defines a milk hauler as any person who transports milk or raw milk products to or from a milk plant, receiving station or transfer station. A milk producer is any person who operates a dairy farm and provides, offers for sale or sells raw milk to a milk plant, receiving station, transfer station or handler as defined in 902 KAR 50:010 (23).
	<b>Access Restrictions</b>	KRS 61.878 (1)(a) - personal information, i.e. Social Security Number. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Application with name, address, phone number and Social Security Number of applicant; barn plan; laboratory analyses reports; inspection reports; correspondence, business history; permit numbers; and if applicable, enforcement actions.
	<b>Retention and Disposition</b>	Retain in Agency ten (10) years after date of last activity, then destroy.
06429	<b>Milk Product Labels</b>	This series represents labels identifying ingredients in milk and cream, sour cream and related products, cheeses, processed cheeses, cheese foods, cheese spreads, and other foods and frozen desserts pursuant to KRS 217C.040, 902 KAR 50:080 and incorporated by reference the federal requirements of 21 CFR Parts 131, 133, 135 and 166.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name, type and ingredients of product; grade of product; whether product is to be kept refrigerated; name, address and permit number of producer.
	<b>Retention and Disposition</b>	Retain in Agency ten (10) years after last date of activity, then destroy.
06430	<b>Food Program Evaluations</b>	This series documents how well retail food establishments follow the policies, plans, programs and evaluations of retail food protection programs established by Department for Public Health, Public Health Protection and Safety Division. The evaluations are conducted by local health departments and help determine the strengths and weaknesses of the policies, etc., for the purpose of protecting the public health. The evaluation and standardization procedures are set forth in the publication entitled "Retail food Programs Evaluation and Standardization Procedures" and are on file with the Department for Public Health.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name, address, phone number of the retail food establishment; copies of plans and policies re food handling and how to protect public health; inspector name and name of local health department; date of inspection; findings.
	<b>Retention and Disposition</b>	Retain in Agency five (5) years after date of inspection, then destroy.

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Cabinet for Health and Family Services  
Department for Public Health  
Public Health Protection and Safety, Division of

**Record Group  
Number  
1442C**

Series	Records Title and Description	Function and Use
06432	<b>Unpasteurized Goat Milk File (V)</b>	This series documents Kentucky farms selling unpasteurized goats milk pursuant to the requirements of 902 KAR 50:120. The sale of unpasteurized goats milk is only permitted to specific individuals with a written recommendation of a physician.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Application for permit, including name, address and owner of farm; County location of farm; Permit number; Physicians Statement of Recommendation, including of specific individual; volume of unpasteurized goat milk sold; inspection reports; laboratory analyses; Bacterial, Chemical and Temperature Logs; Milk/Barn plans; Veterinarians assessment of animal health information, including tuberculin and brucellosis tests; names of farm workers in milk farm.
	<b>Retention and Disposition</b>	Retain in Agency permanently.

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Public Health Protection and Safety, Division of  
Radiation Health And Toxic Agency Control Branch

Record Group  
Number  
**1442C**

Series	Records Title and Description	Function and Use
05771	<b>Martha Oil Fields Surveillance Data</b>	<p>This series documents the test results from soil and water samples taken from site specific locations at Martha Oil Fields located in Lawrence and Johnson Counties. The Martha Oil Fields consists of demobilized oil wells that may be contaminated with Naturally Occurring Radioactive Material (NORM) . This site has ongoing litigation that is not likely to be resolved in the near future. KRS 211.842 states the Cabinet for Health and Family Services is the radiation control agency of the State of Kentucky. Furthermore, pursuant to KRS 211.846, the Cabinet for Health and Family Services shall monitor radioactive waste material sites for the protection of the public health, safety and welfare and cooperate and coordinate activities with the Finance and Administration Cabinet regarding leasing, regulation, monitoring and control of the radioactive waste material burial sites.</p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series may contain: Name of person conducting samples, locations of site samples, sample methods, lab result and analyses, chain of custody, if applicable.</p> <p><b>Retention and Disposition</b> Retain in Agency five (5) years, then transfer to State Records Center for permanent retention.</p>
05772	<b>Maxey Flats Disposal Site Surveillance Data</b>	<p>This series documents the test results from soil and water samples taken from specific locations at Maxey Flats Disposal Site. Maxey Flats Disposal Site is located on eight hundred (800) acres in Hillsboro, Fleming County, Kentucky and was a disposal facility for low level radioactive wastes from 1963 through 1977 by permission of the State of Kentucky and under the authority granted by the United State Government. KRS 211.842 grants authority to the Cabinet for Health and Family Services as the radiation control agency of the State of Kentucky. Furthermore, pursuant to KRS 211.846, the Cabinet for Health and Family Services shall monitor radioactive waste material sites for the protection of the public health, safety and welfare and cooperates and coordinates activities with the Finance and Administration Cabinet regarding leasing, regulation, monitoring and control of the radioactive waste material burial sites.</p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series may contain: Name of person conducting samples; locations of site samples; sample methodology; lab results and analyses; chain of custody, if applicable.</p> <p><b>Retention and Disposition</b> Retain in Agency five (5) years, then transfer to State Records Center for permanent retention.</p>
05773	<b>Laboratory Surveillance Data</b>	<p>This series documents the test results from laboratory quality control checks to ensure proper environment exists and the laboratory equipment has correct calibrations to conduct accurate sample analyses. These tests are performed within the laboratory by conducting analyses of samples, control checks with standards, backgrounds, blanks, daily pulsars, weekly primaries and yearly calibrations for the instruments used within the laboratory, including Gamma, Packard, Tennelec and Alpha equipment. Pursuant to KRS 211.842 (1), the Cabinet for Health and Family Services is the radiation control agency of the State of Kentucky and KRS 211.842 (3) authorizes the Cabinet for Health and Family Services to develop and conduct programs for evaluation and control of hazards associated with the use of sources of ionizing, non-ionizing and electronic product radiation.</p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series may contain: Result dates and/ or dates tests taken; person performing tests and the instrument used.</p> <p><b>Retention and Disposition</b> Retain in agency for five (5) years, transfer to State Records Center for permanent retention.</p>

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Public Health Protection and Safety, Division of  
Radiation Health And Toxic Agency Control Branch

Record Group  
Number  
**1442C**

Series	Records Title and Description	Function and Use
05774	<b>Radiation Producing Machine Vendor Files</b>	<p>This series documents all records relating to radiation vendors in the State of Kentucky as outlined in KRS 211.842 and any regulations promulgated thereto. KRS 211.842 states that the Cabinet for Health and Family Services (CHFS) is the radiation control agency for the State of Kentucky and further states CHFS shall issue licenses pertaining to radioactive materials and require registration of other sources of ionizing radiation. The above referenced statute relates to, but is not limited to, applicability, eligibility, education requirements, examinations, and certification requirements, fee schedules, practice standards, continuing education requirements, the renewal of license process and procedures and radiologist assistant programs.</p>
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Letters; curriculum; Qualification Documentation
	<b>Retention and Disposition</b>	Retain permanently in agency.
05775	<b>Radiation Producing Machine Operators File</b>	<p>This series documents all records relating to radiation operators in the State of Kentucky as outlined in KRS 211.842 and all regulatory requirements. KRS 211.842 states that the Cabinet for Health and Family Services (CHFS) is the radiation control agency for the State of Kentucky and further states CHFS shall issue licenses pertaining to the radioactive materials and require registration of other sources of ionizing radiation. KRS 211.870 authorizes CHFS to promulgate administrative regulations relating to the operators of sources of radiation other than licensed practitioners of the healing arts. The General Requirements are set forth in 902 KAR 105.020, the general radiation operator requirements are stated in 902 KAR 105:040 and limited x-ray machines operator requirements are stated in 902 KAR 105:081. The above referenced Kentucky Administrative Regulations cover but are not limited to applicability, eligibility, education requirements, examinations, certification requirements, examinations, fee schedules, practice standards, continuing education requirements, the renewal of license process and procedures and radiologist assistant programs.</p>
	<b>Access Restrictions</b>	KRS 61.878 (1) (a). Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Applicant applications including name, address, phone number, Social Security number; correspondence; educational requirements including curriculum; examination scores; certification, fees, continuing education credits; past employment history, if applicable
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; transfer to State Records Center for five (5) years. Total retention is ten (10) years.
05776	<b>Radiation Producing Machines Facility Files</b>	<p>This series documents information on all radiation producing machines in the State of Kentucky, including manufacturer, physical location, type of machine, and use. KRS 211.842 states that the Cabinet for Health and Family Services (CHFS) is the radiation control agency for the State of Kentucky and further states CHFS shall develop and conduct programs for evaluation and control of hazards associated with the use of sources of ionizing, non-ionizing and electron product radiation.</p>
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Facility files, registration, shielding plan, report of assembly, inspection forms and letters regarding compliance or non-compliance
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; transfer to State Records Center for five (5) years. Total retention is ten (10) years.



**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Cabinet for Health and Family Services  
Department for Public Health  
Public Health Protection and Safety, Division of  
Radiation Health And Toxic Agency Control Branch

**Record Group  
Number  
1442C**

Series	Records Title and Description	Function and Use
05777	<b>Radiation Producing Machines Physicists File</b>	This series documents the information regarding the radiation physicists in the State of Kentucky as stated in KRS 211.842 and related regulatory requirements. KRS 211.842 states that the Cabinet for Health and Family Services (hereinafter "CHFS") is the radiation control agency for the State of Kentucky and further states CHFS shall issue licenses pertaining to the radioactive materials and require registration of other sources of ionizing radiation. KRS 211.870 authorizes CHFS to promulgate administrative regulations relating to the operators of sources of radiation other than licensed practitioners of the healing arts. The Special Requirements for teletherapists (physicists) are set forth in 902 KAR 100:017, include but are not limited to applicability, eligibility, education requirements, examinations, certification requirements, examinations, fee schedules, practice standards, continuing education requirements and the renewal of license process.
	<b>Access Restrictions</b>	KRS 61.878 (1) (a). Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Applicant applications including name, address, phone number, Social Security number; correspondence; educational requirements including curriculum; examination scores; certification, fees, continuing education credits; past employment history, if applicable.
	<b>Retention and Disposition</b>	Retain in Agency five (5) years, transfer to State Records Center for forty five (45) years, then destroy. Total retention is fifty (50) years.
05785	<b>Paducah Gaseous Diffusion Plant Surveillance Data</b>	This series documents test results from soil and water samples taken from specific locations at the Paducah Gaseous Diffusion Plant. The Paducah Gaseous Diffusion Plant is located in Paducah, Kentucky and was a disposal facility for low level radioactive wastes by permission of the State of Kentucky and under the authority granted by the United States Government. KRS 211.842 grants authority to the Cabinet for Health and Family Services as the radiation and control agency of the State of Kentucky. Furthermore, pursuant to KRS 211.846, the Cabinet for Health and Family Services shall monitor radioactive waste material sites for protection of the public health, safety and welfare and cooperates and coordinates activities with the Finance and Administration Cabinet regarding leasing, regulation, monitoring and control of the radioactive waste material burial sites.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name of person conducting samples; locations of site samples, sample methodology; lab results and analyses; chain of custody, if applicable.
	<b>Retention and Disposition</b>	Retain in Agency five (5) years, then transfer to State Records Center for permanent retention.

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Epidemiology and Health Planning, Division of

Record Group  
Number  
**1442E**

Series	Records Title and Description	Function and Use
00269	<b>Immunizations Tabulation</b>	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	(Tetanus, Polio, Reported by County Health Departments, Hardin County Immunization Study, Diphtheria, Pertussis, Smallpox, Typhoid) (Old record; no longer issued)
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; transfer to State Archives Center for permanent retention.
00270	<b>Occurrence Births Delivered by Midwives, Physicians, or Others - with Syphil</b>	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	(By County and Volume) (Old record; no longer issued)
	<b>Retention and Disposition</b>	Retain in Agency for five (5) years; transfer to State Archives Center for permanent retention.
00281	<b>County Files Profile Sheets; Immunization Data</b>	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Retention and Disposition</b>	Retain permanently in Agency
00285	<b>Diseases - Special Report</b>	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Retention and Disposition</b>	Retain permanently in Agency

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Cabinet for Health and Family Services  
Department for Public Health  
Epidemiology and Health Planning, Division of

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Series	Records Title and Description	Function and Use
00301	<b>Hospital Reports</b>	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Retention and Disposition</b>	Retain permanently in Agency
00303	<b>Hospital Patient Movement</b>	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Retention and Disposition</b>	Retain in Agency and destroy when no longer useful
00304	<b>Mental Health and Retardation Summary</b>	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Retention and Disposition</b>	Retain in Agency and destroy when obsolete
01409	<b>County Statistics Log Book</b>	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Retention and Disposition</b>	Retain permanently in Agency
01430	<b>Patient Folders</b>	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Includes: Adverse Drug Reaction Form, Bacteriologic Conversion and Drug Therapy Questionnaire, Early Discharge Report, Medical History, Physician Orders, TB Registration Form, TB Service Form, X-Ray Reports
	<b>Retention and Disposition</b>	Retain in Agency ten (10) years; transfer to State Archives Center for permanent retention

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Cabinet for Health and Family Services  
Department for Public Health  
Epidemiology and Health Planning, Division of

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Number  
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Series	Records Title and Description	Function and Use
03679	<b>Statewide Tuberculosis Hospital Patient Index (V)</b>	CLOSED--This series served as an index to the approximately 220,000 patient medical records originating from state tuberculosis hospitals. The index provides the location of the Patient Medical Folder (SN 03682) in the State Archives or the State Records Center. This series was created as inpatient facilities for the care and treatment of individuals with tuberculosis were phased out. The facilities were located in Madisonville, Glasgow, Paris, Ashland, London, and Louisville. In addition, an inpatient facility for mycology patients was in operation at Paris for a very short time. (Those records are included in this index.) The last facility was closed in February, 1978.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Name of patient; Medical Record No.; County of residence; Birthdate or Year of Birth; Location of Record.
	<b>Retention and Disposition</b>	Retain permanently in agency
03680	<b>Tuberculosis Admissions Log Book</b>	CLOSED--This series verified the admission of a patient into one of the six operating tuberculosis hospitals in Kentucky. As the patient was admitted, he/she was assigned a number which was recorded in the Admissions Log Book. That number became the patients medical record number. Because the Statewide Tuberculosis Hospital Patient Index (03679) is not inclusive of patients admitted prior to 1950, this series is a key source of information documenting patient admission activity. This was previously SN 1408.
	<b>Access Restrictions</b>	KRS 194A.060. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Name of patient; Date; County of residence.
	<b>Retention and Disposition</b>	Transfer to the State Archives Center for permanent retention
03681	<b>Hospital Discharge Log Book</b>	CLOSED--This series verified a patients discharge from a state operated inpatient facility for the care and treatment of tuberculosis. The information documented patient activity in the tuberculosis hospitals. This was previously SN 1411.
	<b>Access Restrictions</b>	KRS 194A.060. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Date; Name of Patient; Medical Record no.; County of residence
	<b>Retention and Disposition</b>	Transfer to the State Archives Center for permanent retention
03682	<b>Tuberculosis (TB) Patient Medical Record</b>	CLOSED--This series documented the information gathered during encounters with those patients of the state operated TB hospitals in Glasgow, London, Madisonville, Ashland, Paris, and Hazelwood (Louisville). The medical record contained sufficient information to identify the client, to support the diagnosis, justify the treatment, and to record results of such treatment during a patients stay at one of the state facilities. Now, when a patient with a TB history seeks treatment, the TB Control Program is notified by the Local Health Department (LHD) or the private physician. Information from the medical record is retrieved and made available to the physician or the LHD. If a patient has a recurrence of tuberculosis, the TB Control Program sends the file to the LHD. The record then becomes the responsibility of the LHD (SN L2141-Patient Medical Record-TB Cases).
	<b>Access Restrictions</b>	KRS 194A.060. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Documentation of the medical care; Treatment; Test results; X-ray reports; Operative reports; Medications; Progress notes; Physicians orders; Discharge Summaries.
	<b>Retention and Disposition</b>	Retain in the State Records Center for permanent retention

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Epidemiology and Health Planning, Division of

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Series	Records Title and Description	Function and Use
04444	<b>Kentucky Reportable Disease Card File (V)</b>	This series documents the detection and reporting of communicable and/or infectious diseases by health care providers throughout the state to the Division of Epidemiology, Department for Health Services (DHS), Cabinet for Human Resources (CHR) as mandated by 902 KAR 2:020. Epidemiology is the science concerned with defining and explaining the interrelationships of factors that determine disease frequency and distribution. By reporting the designated diseases, the agency is able to track those illnesses detrimental to the citizens of the Commonwealth. All information related to sexually transmitted diseases (STD) is forwarded directly to the STD Branch for input into the Sexually Transmitted Disease Management Information System (SN 04465), except for AIDS (Acquired Immunodeficiency Syndrome) or HIV (Human Immunodeficiency Virus) reports. These are reported by telephone to the AIDS Program in the Surveillance and Investigation Branch. This series was previously SN 1197.
	<b>Access Restrictions</b>	KRS 194A.060, KRS 333.130, KRS 214.420. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	FRONT--Name; DOB; Age; Address; Sex; Race; County; Disease name; Date of Onset; If Hospitalized, Date of Admission/ Discharge/ Death; Laboratory Information (Date, Test, Site, Result); Outbreak?/Daycare?; Person/Institution Reporting; Phone #; Symptoms (Y/N); If yes, describe; Vaccine Type; Date Administered. BACK--Information for STDs Only-Disease Stage and Type; Date Reported/Treated; Type and Amount of Treatment; If Syphilis, Was Previous Treatment Given (Y/N); Method of Detection; Diagnosed By; Phone; Comments.
	<b>Retention and Disposition</b>	Retain in Agency three (3) years; destroy
04445	<b>Reportable Disease Registry Database (V)</b>	This series documents the types of diseases submitted to the agency as reported by local health agencies, pursuant to KRS 211:180, KRS 214:010, and 902 KAR 2:020. These laws provide for proper actions to be taken in the detection and prevention of infectious or contagious diseases within the state, including occupational and industrial-related diseases. Local health departments report to the cabinet on the Kentucky Reportable Disease Card (SN 04444) when positive results are obtained for diseases which include animal bites, anthrax, cholera, encephalitis, sexually transmitted diseases, measles, and tuberculosis, among many others. The database provides the department with a means of examining the spread of diseases and allows it to be aware of disease outbreaks. As each weeks records are entered, new data is transmitted to the Centers for Disease Control and Prevention (CDC), Atlanta, Georgia. The data provides the basis for epidemiologic studies when appropriate, and satisfies requests for information from the commissioner, county and district health departments, other government agencies, private practicing physicians, concerned citizens, and the news media. The data is used by a variety of agencies in program planning, budget considerations, public awareness, and health care promotion. *A comprehensive survey is retained by the agency. The local health department receives that which pertains to the county or the surrounding area
	<b>Access Restrictions</b>	KRS 333.130, KRS 214.420. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Individual records are comprised of the following elements: Patients name, address and phone; form completion date; reporting health department name and address; state, city, county and CDC patient numbers; date of birth and or death, state wherein patient died, sex, race-ethnicity, country of birth, city where diagnosis was made; source of report information; patient history data; AIDS indicator diseases present; laboratory data.
	<b>Retention and Disposition</b>	Retain permanently in Agency

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Epidemiology and Health Planning, Division of

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Number  
**1442E**

Series	Records Title and Description	Function and Use
04446	<b>Acquired Immune Deficiency Syndrome (AIDS) Case Registry System (V)</b>	<p>This series documents the individual cases of acquired immune deficiency syndrome (AIDS) reported to the agency by private physicians, clinical laboratories, and hospitals in Kentucky. AIDS is the result of the destruction of the bodys immune system as defenses slowly fail and the body becomes vulnerable to various infections and tumors. Death usually follows within two to three years. Title 902, Chapter 2:020 (2) requires the reporting of AIDS (and HIV-Human Immunodeficiency Virus) to the state. The registry maintains patient-related data as a means of tracking AIDS in Kentucky. Information on persons with AIDS is reported via telephone to the agency where the data is transferred to a form provided by the CDC and input into the registry. Individual records that include patient names and personal identifiers are excluded from reports generated from the database. The branch and CDC have assigned unique case numbers to each record for tracking purposes. The data will include known risk factors for the AIDS registry like the HIV Registry (04447) which allows the agency to identify the population at risk for HIV infection. The database allows for research of trends of the disease. It provides information for planning and allocating resources for care. Identifiable information from the HIV Registry is transferred to this registry once the effects of AIDS appears. The HIV and AIDS registries contain extremely sensitive information. The greatest precautions are taken to protect the individuals listed.</p>
	<b>Access Restrictions</b>	KRS 214.420; KRS 333.130, KRS 194A.060. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Patients name, address, city, county, phone; form completion date; Reporting agency and address; County and CDC patient numbers; DOB/Death (if applicable); State where death occurred; Sex/Race-ethnicity; Country of birth; City of diagnosis; Source of report information; Patient history data; AIDS indicator diseases present; Laboratory data. (See attached.)
	<b>Retention and Disposition</b>	Retain permanently in Agency
04447	<b>Human Immunodeficiency Virus (HIV) Registry (V)</b>	<p>This database documents the individual cases of human immunodeficiency virus (HIV) infection as reported to the agency by private physicians, clinical laboratories, and hospitals. HIV attacks white blood cells, the bodys defense against bacterial, fungal, and viral infections, leaving the body vulnerable to illnesses that normally dont kill but can be deadly in AIDS (acquired immune deficiency syndrome) patients. Title 902, Chapter 2:020 (2) requires the reporting of AIDS and HIV to the state. Reports of HIV are identified by a code, i.e., initials plus birth date, consistent for a given patient without revealing any identification. The registry provides for the submission of patient-related data to the Department of Health Services, as a means of tracking the spread of HIV in Kentucky. The data may include known risk factors such as: a) men who have sex with men (MSM), b) injecting drug use, c) hemophilia, d) receipt of blood products, e) birth to an infected mother, or f) heterosexual contact with subjects (a) to (d). This database somewhat parallels a separate one used for the collection of data for AIDS patients provided from the same sources. As a patient develops AIDS and is reported, known data from the HIV Registry is retrieved and added to the AIDS registry (and removed from the HIV Registry). It may be that an individual included in the AIDS Registry was never on the HIV Registry. Sometimes, identifying information doesnt completely match.</p>
	<b>Access Restrictions</b>	KRS 214.420; KRS 333.130, KRS 194A.060. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Patients Code, i.e., initials and birthdate; Race; Sex; Risk factor(s); County of residence; Name of reporting facility; Test date; Test type; TB skin test status
	<b>Retention and Disposition</b>	Retain in Agency all current information until the information is transferred to the AIDS Case Registry System (04446), which is a permanent record.

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Epidemiology and Health Planning, Division of

Record Group  
Number  
**1442E**

Series	Records Title and Description	Function and Use
04448	<b>Newborn Blot Study Database</b>	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Retention and Disposition</b>	Retain permanently in Agency
04449	<b>Farm Injury Database</b>	This series documents the frequency and nature of farm injuries from three field study districts in Kentucky. The records are gathered as part of a five-year, federally-funded project designed to provide baseline information on farm safety. The districts are Barren River (Barren and Warren counties), Buffalo Trace (Bracken, Fleming, Mason, and Robertson counties), and Lincoln Trail (Hardin, Larue, and Nelson counties), with counties being selected because they rank among the highest in terms of agricultural productivity in the state. The number of counties included in each district varies in order to make each district roughly equal in terms of agricultural acreage. The project is funded by the National Institute for Occupational Safety and Health, which is supporting similar projects in ten other states. In each of the three districts, a public health nurse is recording farm injuries using a standard form created for the study. Data are collected from the seven hospitals with the study counties, with additional reports from participating physicians and dentists. The information on the forms is keyed into a project laptop computer and subsequently sent to Frankfort at monthly intervals. Data relayed to NIOSH are relayed by telephone modem/E-mail. Very little information on numbers and types of farm accidents existed before this project. This series is a first step in the development of programs aimed at reducing the number and severity of such accidents.
	<b>Access Restrictions</b>	KRS 194A.060. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Information on the reported accident, nature of accident, farm machinery involved, if applicable, cause of accident; Accidents related to children, persons over 55; Demographic information of injured party (name, DOB, age, sex, marital status, etc.)
	<b>Retention and Disposition</b>	Transfer three copies of the final report to the Archives and Records Management Division when issued for permanent retention. Destroy excess copies when no longer useful. Delete entries in database after final report is issued and audit, total retention is five (5) years.
04450	<b>Mycology Research Project File</b>	CLOSED--This series documented a mycology project that was begun in 1977, then abolished in 1980 when it was no longer funded and the agency was reorganized. The project was a study of histoplasmosis in Kentucky, its incidence rate and risk factors. Histoplasmosis is caused by a genus of parasitic fungi with symptoms varying from a mild infection to a severe fatal disease. In a severe case there is fever, anemia, enlargement of spleen and liver, leukopenia (an abnormal decrease in white blood corpuscles), infection of the lungs, adrenal necrosis, and ulcers of the gastrointestinal tract. The primary cause of histoplasmosis is bird droppings, for positive (vs. negative) roost sites, making geographic location a primary factor in selection of clients. Individuals found to be in need of further medical care were referred. There should be little, if any, duplication of medical information between these records and respective local health department records. The medical provider has the patients medical information. The series contained screening and x-ray results of patients, site visits by team members/doctors, fiscal reports, and personnel time and attendance reports. Educational programs were planned for all levels of health personnel. Results of the study are inconclusive because of the ending of the project. Health needs were not determined or developed.
	<b>Access Restrictions</b>	KRS 194A.060. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Patient records including name, age, race, sex, address; Roost Location; Lab and Screening Results, X-rays; Registration Form/Follow-up Form; Previous history; Permission Letters for parent signature for school children; Site reports--Location, patient name, test results, correspondence with patients; Personnel data and fiscal data related to project; Staff Reports, correspondence, study goals/plans
	<b>Retention and Disposition</b>	Transfer to State Records Center for ten (10) years; destroy

# STATE AGENCY RECORDS RETENTION SCHEDULE

## Cabinet for Health and Family Services Department for Public Health Epidemiology and Health Planning, Division of

Record Group  
Number  
**1442E**

Series	Records Title and Description	Function and Use
04452	<b>Chronic Disease Data Set File (V)</b>	<p>This series documents the chronic disease services and activities reported from the local health departments, hospitals, and the Markey Cancer Center in Lexington, Kentucky, that allows the agency to evaluate the services, and their costs, that are extended to patients. It includes an accumulation of information related to the deaths of Kentuckians from chronic diseases (cancer, cardiovascular, or diabetes) by the Vital Statistics Branch, Department of Health Services (DHS). The Markey Cancer Center transfers the cancer data via diskette which is loaded into the system. The information gathered by the Markey Center is obtained from other hospitals and health clinics as well, identifying services, treatment, and prevention. The health departments do a great deal in screening patients and making referrals as needed. The Patient Services Reporting System (PSRS) (NOS) networks the local health departments with the Division of Local Health (DHS). The Chronic Disease Data Set maintains the disease information transferred from the PSRS of the Division of Local Health and the Vital Statistics Branch (downloaded from the state mainframe). The reports are written (cumulatively) each quarter. It creates a spreadsheet (see SN 04453, Chronic Disease Management Spreadsheet File) that allows the Chronic Disease Branch to set up cost factors, allocations, and projections for the services provided by the health departments, primarily from grant moneys (see SN 04451, Epidemiology (Federal) Grant File).</p>
	<b>Access Restrictions</b>	KRS 194A.060. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	County; Quarter/YTD; Service Code (AFDC, MCH, Diabetes, Food Stamps); Division Reporting; Method of Payment (Medicare, Medicaid, Insurance); Total Services; Reporting Area; Description of Service--Patient Encounter Form includes--Patient ID/Demographic information; Preventive Visit Level/Services; Problem Level/Services; Nurse; WIC Visit; Problem Counseling; Immunizations; Radiology/Laboratory Tests; Diagnosis Code; Charges; Paid; Family Planning; Food Instrument Issuance.
	<b>Retention and Disposition</b>	Maintain updated quarterly report plus previous one (received from Patient Services Reporting System, Local Health Division) in Agency for six (6) months.
04453	<b>Chronic Disease Management Spreadsheet File</b>	<p>This series documents the use of chronic disease program services in the local health departments. This is a quarterly printout from the Patient Services Reporting System (PSRS) (NOS) in the Division of Local Health, Department for Health Services, and provides cumulative figures of the services extended and their costs. It aids in year-end closeouts for reimbursement to the local health departments, and allows the agency to estimate future allocations in planning budgets and requesting grant dollars. *Upon receipt of the year-end report (or fourth quarter), the first three quarter reports are disposed of.</p>
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Program plan; Budget and service of each local health department providing chronic disease services
	<b>Retention and Disposition</b>	Retain in Agency three (3) years; destroy
04454	<b>Sickle Cell State Laboratory Report File</b>	<p>CLOSED--This series documented the screening results for sickle cell anemia, a hereditary chronic form of anemia in which abnormal sickle or crescent-shaped erythrocytes (red blood cells) are present. Budget cutbacks caused the Sickle Cell Screening, Counseling, and Education Program to be discontinued in 1982. It is now tested in newborns and recorded with the Division of Laboratory Services, Department for Health Services (PKU, Galactosemia, and CH Newborn Screening Submission File--SN 04103). PKU is for phenylketonuria, CH is for congenital hypothyroidism. This series was previously SN 1188.</p>
	<b>Access Restrictions</b>	KRS 194A.060. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Patients name, address, phone #, county, birthdate, sex, mothers name; Physician or agency submitting sample; Date specimen collected; Type of specimen; Purpose of examination; Lab findings
	<b>Retention and Disposition</b>	Retain in Agency twenty-one (21) years; destroy



# STATE AGENCY RECORDS RETENTION SCHEDULE

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Epidemiology and Health Planning, Division of

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Series	Records Title and Description	Function and Use
<b>04455</b>	<b>Cancer Death List Report File</b>	This series documents quarterly the patients who have died from cancer. It serves as a means of following up on patients identified on the Cancer Registry. The printout is provided to the agency each quarter from the Division of Vital Statistics. It will also identify patients that have had cancer, but died of other causes. The Chronic Disease Branch also reviews it for program management, evaluation, and research.
	<b>Access Restrictions</b>	KRS 194A.060. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Name of deceased, address, county; Date of death; Code indicating cause of death
	<b>Retention and Disposition</b>	Retain in Agency eight (8) years; destroy
<b>04456</b>	<b>Consultation Record File</b>	This series documents the agencies inquiry and/or response record to health care providers, sometimes members of the public, regarding health care services. It is used in the department for gathering information (and statistics) of health care needs and/or services provided as determined by or indicated by the person responding to the consultation record. The data can affect the creation or the continuation of a program.
	<b>Access Restrictions</b>	KRS 194A.060. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Date of Contact; Name of person making contact; Address/Telephone; (CHECK): Local Health Department Personnel, Private Physician or staff, Infection Control Nurse, Member of Public, Other (CHECK) Method of Contact: Letter, Telephone, In Person. PROBLEM; ACTION TAKEN; Signature.
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; transfer to the State Records Center for sixteen (16) years; total retention is twenty one (21) years.
<b>04457</b>	<b>Annual Immunization Assessment Report File (V)</b>	This series documents the percentage of children adequately immunized according to the recommended schedule. The schedule recommends that children be immunized upon entry into kindergarten and sixth grade. Kentucky state law requires proof of immunization before children are allowed into the classroom. It surveys the kindergartens, Head Start enrollees, day care centers, and those entering sixth grade. The report reflects a level of compliance within the counties regarding proper immunization and allows for county comparisons. Also, to qualify for federal grant dollars (see SN 04451), annual assessments are required. This series was previously SN 1162.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Data Sheets for Head Start, Kindergarten, Day Cares, and 6th Graders--Date; County; Child attendance; <15 months; <6 months; Exempt. Immunization for: DTP, Polio, Measles, Mumps, Rubella, HIB, Combination of these, No Record, % to age appropriately immunized.
	<b>Retention and Disposition</b>	Retain in Agency ten (10) years; destroy after audit

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Series	Records Title and Description	Function and Use
<b>04458</b>	<b>Local Health Department Review Survey File (V)</b>	This series documents the extent to which the local health departments (LHD) perform immunization program activities and the level of compliance with program plans and guidelines based upon the recommendations of the Advisory Committee of Immunization Practices (ACIP). In order to qualify for funding, the LHDs justifies its need for the money by how well it accomplishes the tasks of the program. Field representatives from the cabinet complete the evaluations. The state and federal funds the LHD receives is dependent on the quality of the program and accomplishment of goals. This was previously SN 1162.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	County; Date; Immunization Coordinator; LHD Hours of Service; Does LHD accomodate walk-ins?, Fee for immunization?, Check clients immunization records each WIC and other health service visits?, Extent or use of WIC to promote immunization, standard practices of nurse explanations with risks/benefits of vaccines?, Contraindications to vaccinations?, administration of DTP, OPV, MMR, HIB, Hep B (simultaneously?), Vaccine Adverse Event Reporting System Forms submitted properly?, Method of tickler/recall for notification of immunizations?, System evaluation, Protocol for investigation and controlling vaccine preventable diseases?; other review questions
	<b>Retention and Disposition</b>	Retain in Agency ten (10) years; destroy
<b>04459</b>	<b>Quarterly Vaccine Doses Administered Report File (V)</b>	This series documents the doses administered by age group by all the local health departments (LHD) and public clinics receiving program vaccines. The Patient Encounter Form (PEF) is generated in the LHD (SN L2129) with this portion of the data transferred to the Immunization Branch (via the Local Health Branch, SN 03078, Department for Health Services). The total dosages are tabulated and sent to the CDC with a copy maintained in the agency. Various diseases are carefully watched, particularly measles, and capture the attention of health care observers when outbreaks occur. *Printouts had not been retained until the local area network was implemented in 1990.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Project Area/Region; Quarter; Person Reporting; Phone; Date; Vaccine {Public Providers or Private-(DTP, DT (Ped), Td, Hib, OPV, IPV, MMR, MR, ME, MU, RU, Influenza, Pneumococcal, HEP B (1, 2, 3+), HBIG, Varicella)}; Number of Doses Administer by Age Group in Years-- <1, 1, 2, 3-4, 5, 6-9, 10-14, 15-19, 20-24, 25-44, 45-64, 65+, Unknown, Total
	<b>Retention and Disposition</b>	Destroy Patient Encounter Form printout after three (3) years. Retain quarterly report for ten (10) years in Agency, then destroy.
<b>04460</b>	<b>Allocation of Funds to the Local Health Department File (V)</b>	This series documents the authorization for the expenditure of funds that is health department and program specific. Because of the various sources of funds for state and federal health care programs, this file provides the agency with a means of tracking and balancing moneys available by source, code, and amount (aside from the routine Finance and Administration forms).
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Fiscal year; Name of Health Department, ID#; Division Requirements (Yes/No) Approved Program, Federal funds received, special project with special restrictions approved and agreed upon; Regular Funding--CHR program code, Grant No., LHD Receipt Account, Amount, Totals; Payment Instructions; Grant Authorized by/Date.
	<b>Retention and Disposition</b>	Retain in Agency three (3) years; destroy after audit

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Series	Records Title and Description	Function and Use
04464	<b>Martin County Tuberculosis Eradication Project</b>	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Retention and Disposition</b>	Retain in the State Archives Center permanently
04465	<b>Sexually Transmitted Disease Management Information System (V)</b>	This series documents the individuals in Kentucky that are affected (and infected) by sexually transmitted diseases (STDs), such as syphilis, gonorrhea, genital herpes, acquired immunodeficiency syndrome (AIDS), human immunodeficiency virus (HIV) infection, and chlamydia. The STD Program implements the agency's prevention and control program, which is authorized by KRS 214.605. The STD MIS tracks: (1) STD cases reported from local health departments, physicians, hospitals, clinics, or labs; (2) treatment of cases and lab results, and (3) various follow-up contacts and interviews with patients made by field or central office staff. Reports of STDs are sent directly to the program via the Kentucky Reportable Disease Card (04444), with the exception of reporting AIDS and HIV infections which are to be reported by phone. In implementing the STD prevention and tracking program, the agency works with the Centers for Disease Control and Prevention (CDC), Atlanta, GA. The federal government financially supports portions of the program directly with staff and grants. CDC provides guidelines for such funding with routine reporting requirements. *Reference not yet known, but plans for research of information are a primary concern.
	<b>Access Restrictions</b>	KRS 214.420; KRS 333.130. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Information relating to disease symptoms, patient identifying information, lab results, field interviews, and investigative interviews
	<b>Retention and Disposition</b>	Retain permanently in Agency
04466	<b>Individual Venereal Disease Information Card File (V)</b>	CLOSED--This series documented a patient's status in regard to current and/or past treatment for syphilis and the lab findings as a result of each test. A specialized lab test was conducted on the patient to confirm lab results. The information is no longer created (separately) on the 4 x 6 card, and is instead received on the Report of Positive/Reactive Test for STD (EPID-240) (SN 04467) and input into the Sexually Transmitted Disease Management Information System (STD MIS) (SN 04465). It is vital to have this information available for cross-reference because a person having tested positive for syphilis will then continue to show positive results in future blood tests. Some individuals that are currently tested will have their results updated (for any testing that occurred prior to 1992), and their history pulled from the information card and input into the STD MIS, thus allowing for the destruction of the card. This series was previously 1164.
	<b>Access Restrictions</b>	KRS 214.420, KRS 333.130. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Individual's name; DOB; Date opened; Field Record #; Age, Race, Sex, County Code; Clinic; Disease Code; Blood test results; Date of test, date entered; Results of test; Name of lab; Medication; Date of Treatment; Stage of treatment; Place where treated.
	<b>Retention and Disposition</b>	Retain in Agency and destroy after fifty (50) years or upon verification of entry into the Sexually Transmitted Disease Management Information System (SN 04465)

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Series	Records Title and Description	Function and Use
04467	<b>Report of Positive/Reactive Test for Sexually Transmitted Disease File (V)</b>	This series documents positive or reactive test results of a sexually transmitted disease (STD) from a physician or a health care provider. The reports aid in the monitoring of the spread or containment of STDs. The results are input into the Sexually Transmitted Disease Management Information System (STDNIS) (SN 04465). Each result that is input into the STDNIS helps to build a patient history, as well as statistical reports to be sent to the Centers for Disease Control and Prevention, Atlanta, GA. This was previously SN 1165.
	<b>Access Restrictions</b>	KRS 214.420, KRS 333.130. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Patients Name, address; Age; Race; Sex; Ethnicity; Method of Case Detection; Test Submitted by (Source) (Physicians Name); Processing Facility/Laboratory; Test Performed (Syphilis, Gonorrhea, AIDS/HIV, Chlamydia, Other); Results; Date Specimen Was Taken; Was confirmatory specimen sent to state lab?
	<b>Retention and Disposition</b>	Retain in Agency and destroy upon verification of entry into the Sexually Transmitted Disease Management Information System (SN 04465)
04468	<b>Venereal Disease Interview Record File (V)</b>	This series documents patient information relating to episodes with venereal diseases. It provides a means of collecting statistical and demographic information as well as tracking the cases recorded. The patient information includes date of onset, duration of symptoms, reason for examination, and type of treatment provided. It documents medical and epidemiological outcomes of persons having had contact with or been a sexual partner to an infected patient. An interview is conducted with patients under current treatment for a particular venereal disease. Every interview record will come from subsequent tests for diseases. The record is not intended to contain a medical history of a patient, but is more of a case management tool. It enables staff to evaluate and measure success in controlling the spread of such diseases. The Sexually Transmitted Disease Management Information System (STDNIS) (SN 04465) has a component to track information from the interviews--patient information, new examinations, partners, print reports and statistics. This series is a combination of previous series 1166 and 1190.
	<b>Access Restrictions</b>	KRS 333.130, KRS 214.420. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Disease Code; Patient Name, Address, Phone, DOB, Age, Race, Sex, Pregnancy; Method of Case Detection; Information Source; Date Assigned; Date Treated; Interview period; Period Partners; Pre-/Post-Test Counseled; Tested for HIV; Previous HIV Test; Current HIV Test; Sexual Activity/Drug History since 1978; Hemophilia?; Symptoms (Onset, Duration, Description); Lab Results; Treatment; Other infections; Interview information (Name of partner, exposures, sex, sources/spread, frequency, diagnosis of partner, test result)
	<b>Retention and Disposition</b>	Retain in Agency one (1) year; destroy
04469	<b>Report of Civilian Cases of Primary/Secondary Syphilis and Gonorrhea</b>	This series provides annual statistics of all reported cases of syphilis and gonorrhea in Kentucky. The report is required of all state STD programs receiving federal funds by the Centers for Disease Control and Prevention (CDC) in Atlanta, Georgia. The report reflects statistics of cases of gonorrhea and infectious syphilis (1) by provider, and (2) of demographic information of patients. It provides Kentucky health officials with an excellent source of demographic statistics and trends relating to syphilis and gonorrhea cases. This was previously SN 1167.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Name of state; Calendar year; Disease (Gonorrhea or Primary and Secondary Syphilis); Age; Sex; Race/Ethnic (White, Black, Hispanic, Asian or Pacific Islander, American Indian or Alaskan Native, Not Specified, Total); Reported by Private Physicians/Hospitals/Institutions or Public Clinics/Hospitals/Institutions
	<b>Retention and Disposition</b>	Retain in Agency thirty (30) years; destroy

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Series	Records Title and Description	Function and Use
04470	<b>Sexually Transmitted Disease Morbidity Report File (V)</b>	This series documents a statistical review of the morbidity, or incidence, of reported cases of sexually transmitted diseases (STD) each month in Kentucky. It is required by the Centers for Disease Control and Prevention by states that receive federal dollars to support a STD Control Program.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Area of report; Report Period; Name of Disease/Stage of Disease; Civilians--Male/Female/Totals from Private Sources, Public (Clinic) Sources; Military--Male/Female/Totals.
	<b>Retention and Disposition</b>	Retain in Agency thirty (30) years; destroy
04471	<b>Report and Results of Follow-up of Serologic Reactors</b>	CLOSED--This series documented the reporting and follow-up of reactive syphilis serologies. It provided statistics to the number of serologies reported by provider type (public, private, federal); the number of new, previously unreported cases of syphilis found; the type of follow-up required by the STD Program to reach medical and epidemiologic determination; and, the number of record search and administrative closures of cases. The data was used to evaluate the effectiveness of the statewide surveillance activities for cases of syphilis detected early. This information was found to be duplicated by other reports and information retained, particularly with the implementation of the Sexually Transmitted Disease Management Information System (SN 04465). This was previously SN 1169 and 1202.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Type of Lab (Private, Public, Federal); Type of Closure (Administrative, Record Search, Voluntary Report, After Contact with Physician, Field Investigation of Patient); Total Closed; Disposition of Reactive Report, Diagnosis (Primary or Secondary Syphilis, Early Latent Syphilis, Other Syphilis, Not Infected, All Other Dispositions); Administrative Closures (Kinds of Reactors, Number); Number of Reactive Specimens Reported During Report Period (Private, Public, Federal Labs); Remarks; Report Period; Project Number; Date Prepared; State/City.
	<b>Retention and Disposition</b>	Retain in Agency ten (10) years; destroy
04472	<b>Culture Examination for Gonorrhea File (V)</b>	This series documents patients that are tested for gonorrhea. For the STD program, it is a means for health care providers to report information that can be converted into statistical reports. The information is entered into the Sexually Transmitted Disease Management Information System (04465). If an individual has tested negative, it documents that a patient was tested. If positive, the information input into the STD MIS provides various demographic statistics, status of infected patients, statistics by testing site, etc. This series was previously 1204.
	<b>Access Restrictions</b>	KRS 214.420, KRS 333.130. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Patient name; Address; County; Age; Race; Sex; Ethnicity; Method of Case Detection; Presumptive for Neisseria gonorrhoeae (Results); Submitted by (Source); Processing Facility (Lab); Site Tested (Body); Date Received; Date Reported.
	<b>Retention and Disposition</b>	Retain in Agency and destroy upon input and verification into the Sexually Transmitted Disease Management Information System (04465).

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Series	Records Title and Description	Function and Use
04473	<b>Administrative Closure of Report of Positive/Reactive Test for STD</b>	
	<b>Access Restrictions</b>	KRS 214.420, KRS 333.130. Agencies should consult legal counsel regarding open records matters.
	<b>Retention and Disposition</b>	Retain in Agency and destroy upon receipt
04474	<b>Behavioral Risk Survey Database (V)</b>	This series documents the responses and results of a behavioral risk factor questionnaire of adult Kentuckians by the Health Promotions Branch, Division of Epidemiology, Department of Health Services. The survey is completed as a cooperative effort by the states with results shared with the CDC for compilation. The CDC finalizes the core questionnaire, which changes each year, then the states may include optional modules. The telephone survey is done monthly and individuals are randomly selected. It provides responses related to their behavior regarding smoking or tobacco use, alcohol use, exercise, seat belt use, diet, nutrition and weight control, current health status, medical access, and knowledge of diseases such as AIDS, among other items. It reflects demographic information such as age, race, sex, education level, and income. The CDC returns an annual statistical analysis of data in a hard copy publication and disk. Health care professionals all over Kentucky make requests from the data collected. *Specifically, there are 198 calls made each month to satisfy cluster requirements.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Contents consist of data from respondents regarding behavior related to smoking and tobacco use, alcohol use, exercise, seat belt use, diet as well as demographic and educational information.
	<b>Retention and Disposition</b>	Forward three copies to the Archives and Records Management Division when issued. Destroy excess copies when no longer useful. Destroy entries upon satisfaction of retention period. Retain in Agency ten (10) years.
04475	<b>Core Health Education Program File</b>	This series documents the proposed programs and services of the Local Health Departments, and costs for the programs. Every three years, plans and assessments are written reflecting program needs and the expenditure of grant funds received by the LHDs. Districts and the larger local health departments also do a community needs assessment. The plans describe activities for education and prevention of diseases related to department objectives for the year 2000. Quarterly reports are submitted by the health departments for services provided. They are compiled into an annual report for submission to the federal agencies in the Department for Health and Human Services.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Assessment of health care needs; Health education plan, list of activities, objectives, methods; Site visits, reports; Correspondence of health plans
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; destroy after audit

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Series	Records Title and Description	Function and Use
04476	<b>Kentucky HIV (Continuing) Education Program File</b>	This series documents the courses and curricula, approved and rejected, meeting the HIV education requirement mandated by the Omnibus AIDS Act of 1990. The material is approved or rejected by the Cabinet for Human Resources (CHR) in accordance with the statutes. Pursuant to KRS 214.600-620, specified professions must complete a CHR-approved educational course on the transmission, control, treatment, and prevention of human immunodeficiency virus (HIV) and acquired immunodeficiency syndrome (AIDS). For approval, the course must contain basic medical and epidemiological information relating to HIV, i.e., transmission, prevention, and current recognized medical treatments, precautions consistent with federal Occupational Safety and Health Administration (OSHA), ethical and legal issues, appropriate attitudes and behaviors, and comprehensive human services available for those infected. School curricula must also contain the same information. The professions impacted are nurses, physicians, optometrists, pharmacists, dentists, dental hygienists, social workers, emergency medical technicians, athletic trainers, physical therapists, among others such as barbers and cosmetologists. Courses are updated every two years from the date of approval.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Correspondence; Approved, Rejected Course plans; Name of professional discipline; Course Objectives, Outline, Testing, Course Evaluation, Topics covered, Time frame; Faculty; Review Sheet: Title, Preparer, Instructional Methods, Licensure Review Board, Course Length
	<b>Retention and Disposition</b>	Retain in Agency and destroy approved courses one year after the course/curricula expiration date. Rejected courses may be destroyed after one year
04477	<b>Grant Report File for HIV/AIDS Services Programs</b>	This series documents the reports required by the federal grant programs in which the agency participates. The programs are: 1) the Kentucky HIV Care Coordinator Program; 2) the AIDS Drug Assistance Program File (See SN 04478); 3) the HIV Health Insurance Assistance Program; 4) the Home and Community-Based Care Program; and 5) the HIV Care Consortia Program. The reports serve as a means of describing the case management system formed specifically to provide information, support, counseling, and referral services to individuals and families affected by the HIV disease. The reports include problems encountered either with a program or client, successes, and possible improvements. Some of the programs are state funded, some use both state and federal funds. (See attached for program descriptions). The quarterly and annual reports are available upon request. They are submitted by regional case management staff.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Reports
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; destroy after audit
04478	<b>Kentucky AIDS Drug Assistance Program File (V)</b>	This series documents the cost and drug use of HIV/AIDS infected Kentuckians eligible for the drug assistance program. The program is available to assist eligible, low-income HIV positive individuals in the purchase of certain AIDS-related medications. Eligibility is based on Kentucky residency, medical status, and income (adjusted for family size). The program is supported with state and federal funds, and is intended for individuals who have no other payment source such as Medicaid or Kentucky Physicians Care with which to obtain their medications. (A client will take his prescription(s), or a doctor may call it in, to the pharmacy of his choice; however, the pharmacy must be one that participates in the program. After dispensing approved medications to the client, the pharmacist submits the bill(s) (for drugs and dispensing fee) to KADAP. Payment is made directly to the pharmacy. The client agrees to pay to the pharmacy any difference that exists between the cost of the drug and the average wholesale price (AWP) amount paid by KADAP.) Application to the program is usually by referral of a case management worker of the HIV/AIDS Services Programs. All information submitted by the client is done voluntarily. The program was previously known as the Federal Drug Reimbursement Act, but since has been changed to the Ryan White Care Grant Act. *The file is not referenced upon closure unless a bill is submitted, or unless there is a change in the clients eligibility.
	<b>Access Restrictions</b>	KRS 194A.060. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Application; CD4 count (white cell count); Copies of prescriptions; Doctors statement; Medical Record; Correspondence to client, pharmacy; Drug expenditure sheet(s)--Approved drug, quantity, and each refill; Cost of drug, Dispensing fee to pharmacy, and Total.
	<b>Retention and Disposition</b>	Retain in Agency and destroy ten (10) years after closure of the file and audit

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Series	Records Title and Description	Function and Use
04479	<b>Kentucky AIDS Drug Assistance Program (KADAP) Drug Billing File</b>	This series documents the receipt of each billing and processing for payment to a pharmacist for filling the prescription of an HIV infected patient. Upon receipt of a bill, it is posted in the clients file (SN 04478) and in the Ledger (M0029), then forwarded to Purchases, Office of Administrative Services, Cabinet for Human Resources for processing. There are thirteen drugs currently approved for use in the program. The pharmacies are provided with the reimbursement form by the agency.
	<b>Access Restrictions</b>	KRS 194A.060. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Clients ID#; Name of drug;; Prescription #; Dispensing date; Quantity; Charge for drug; Dispensing fee; Total Reimbursement
	<b>Retention and Disposition</b>	Retain in Agency three (3) years destroy after audit



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Series	Records Title and Description	Function and Use
06375	<b>Immunization Program - Vaccines for Children Program File</b>	This series documents physicians, medical offices, group practices, clinics, health departments or other health delivery facilities that enroll in the Vaccines for Children Program to receive federally procured vaccines at no cost and provided under the jurisdiction of the Cabinet for Health and Family Services, Department of Public Health per requirements of 42 U.S.C. 1396 and regulated pursuant to 907 KAR 1:680. Patients must be screened, must be eighteen (18) years of age or under the age of eighteen (18) and must qualify under one or more of the following categories: (a) enrolled under a program authorized by the Kentucky Medicaid Program; (b) have no insurance or underinsured;
	<b>Access Restrictions</b>	KRS 194A.060 - identification of patient. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Provider Enrollment Form, Provider Form, Patient Eligibility Screening Record - these forms will include name of physician and medical facility, address, phone and fax numbers; names of primary and secondary vaccine shipping contact names; estimated number of children participating in the VFC (Vaccines for Children) Program and if enrolled in Medicaid, without health insurance or underinsured, American Indian or Alaskan Native, insurance does not cover immunizations or is underinsured, or enrolled in Kentuckys Childrens Health Insurance Program; date of screening and childs name and date of birth; parent or guardian name.
	<b>Retention and Disposition</b>	Retain in Agency three (3) years from date of vaccination, then destroy.
06380	<b>Immunization Program - Temperature Logs (V)</b>	This series documents the Fahrenheit Temperature Logs of refrigerated or freezer units used to store vaccines at participating medical facilities for the Kentucky Immunization Program as required by the Centers for Disease Control and Prevention (CDCP). Temperatures are recorded randomly throughout each day by staff using calibrated thermometers approved by CDCP and documenting corrective action taken, if applicable.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Dates; times, staff initials, temperatures of the storage unit(s); correction action taken, if applicable
	<b>Retention and Disposition</b>	Retain in Agency for three (3) years after date used, then destroy.

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Series	Records Title and Description	Function and Use
03826	<b>Birth and Death Indexes (Including Special and Delayed Births) (V)</b>	CLOSED--This series documents the location of the certificates for individuals who were born or died between the years of 1911-1969, or the location of those certificates for individuals born before 1911 who have since been issued a certificate (Special). A Delayed Birth Certificate is one issued to someone born after 1911 who did not have a Birth Certificate created at the time of birth. The birth and death information was published together until 1938, then was published in separate volumes until 1969. Since the early 1970s, it began to be managed in an automated environment (Vital Statistics Registration/Certification System, from which computer output microfiche is issued at five (5) year intervals. The volumes were published and maintained as a set. *The number of bound volumes may vary according to publication. NOTE: The microfiched Birth and Death Indexes are available for research at the Department for Libraries and Archives. They are filmed together for the years 1911-1938. From 1939-54, birth information was filmed separately.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Birth--Name of child born, County of birth, Date of birth, Mothers Maiden name, Volume, Certificate No. and Year; Death--Name of deceased, Date of Death, County of Death, County of Residence, Age, Volume, Certificate No. and Year.
	<b>Retention and Disposition</b>	Retain one set permanently in agency. Transfer excess sets to the State Archives for permanent retention.
03827	<b>Vital Statistics Birth Index (V)</b>	This series identifies the index of birth vital statistics in the Commonwealth of Kentucky pursuant to the duties of State Registrar in KRS 213.031(6) which states "prepare and maintain a complete index of all vital records registered under this chapter". KRS 213.071 provides that the Cabinet for Health and Family Services issue the certificates for all births in the Commonwealth.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name, date of birth, gender, and county of birth, maiden name of mother, file date registered with Vital Statistics
	<b>Retention and Disposition</b>	Retain record permanently in Agency.
03828	<b>Vital Statistics Death Index (V)</b>	This series identifies the index of death vital statistics in the Commonwealth of Kentucky pursuant to the duties of the State Registrar in KRS 213.031(6) which states "prepare and maintain a complete index of all vital records registered under this chapter". KRS 213.076 provides that the Cabinet for Health and Family Services issue the certificates for all deaths in the Commonwealth.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name, age, county of residence, date of death, and volume certificate
	<b>Retention and Disposition</b>	Retain record permanently in Agency.

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Series	Records Title and Description	Function and Use
03829	<b>Vital Statistics Marriage Index (V)</b>	This series is used to aid Vital Statistics in locating the Marriage License--Certificate of Time and Place of Marriage (03834) that is filed with the Vital Statistics Branch as required by KRS 213.116. The last set of microfiche produced spans the years 1974 to 1995. The collection of this information began in 1958, and until 1965 was maintained in bound volumes.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name of bride and groom, County of marriage, Date of marriage, State file no. which includes volume, certificate no. and year filed.
	<b>Retention and Disposition</b>	Retain in Agency permanently.
03830	<b>Vital Statistics Divorce Index (V)</b>	This series is used to aid Vital Statistics in locating the Certificate of Divorce or Annulment (03835) that is filed with the Vital Statistics Branch as required by KRS 213.116. The last set of microfiche produced spans the years 1974 to 1995. The collection of this information began in 1958 and at the time was maintained in bound volumes.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name of husband, Name of wife, Date of divorce, County of divorce, Volume, Certificate number and year.
	<b>Retention and Disposition</b>	Retain in Agency permanently.
03831	<b>Certificate of Live Birth (V)</b>	This series documents the live births occurring in the Commonwealth. Pursuant to KRS 213.046, a certificate is to be filed with the local registrar within ten (10) days after such birth and registered with the State Registrar once completed. In the case of an adoption, the original birth certificate is sealed with an Adoption Information Form and a new birth certificate is created. Pursuant to KRS 199.570, the sealed certificate shall be produced only by a Circuit Court Order. Each month, a sampling is filed and sent to the National Center for Health Statistics in North Carolina to be used as a planning tool identifying future needs in health trends, schools, hospitals and environmental requirements.
	<b>Access Restrictions</b>	KRS 213.131 (5)--100 years. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Childs Name; date of birth; Sex; City/Town of Birth; County; Place (name); Mothers Maiden Name, Social Security Number, Age, Birthplace, Address; Fathers Name, Age, Address, Social Security Number, Birthplace; Certifier Signature Date; Registrars Signature, Date; Medical and Health information on mother and father (Pregnancy History, medical risk factors for pregnancy, Obstetric procedures, complication of labor and/or delivery, method of delivery, abnormal conditions of the newborn, etc.)
	<b>Retention and Disposition</b>	Retain permanently in Agency or in the State Archives.

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03832	<b>Certificate of Death (V)</b>	This series documents all deaths occurring in the Commonwealth and provides information regarding each decedent. Per KRS 213.076, the funeral director or person acting as such, who first takes custody of the body is responsible for filing the certificate of death with the state registrar. Death certificates are bound in volumes containing five hundred (500). Death certificates are necessary for final arrangements such as estate, will and trust settlements, insurance claims, and burials. A sampling of the death certificates are sent to National Center for Health Statistics in North Carolina for state and national statistical studies and health planning.
	<b>Access Restrictions</b>	KRS 213.131 (5)--50 years. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name, age, date of death, date of birth, Social Security Number, address, cause of death of the decedent; funeral director name and address of funeral home; physician or coroner certifying decedents death.
	<b>Retention and Disposition</b>	Retain permanently in Agency or in the State Archives
03833	<b>Report of Fetal Death (V)</b>	This series documents the stillbirth certificates of an infant or fetus occurring in the Commonwealth. This document provides information not reflected on a death certificate, such as: pregnancy and birth or medical information. Pursuant to KRS 213.096, a fetal death is defined as a fetus of twenty (20) completed weeks gestation or more, calculated from the date last normal menstrual period began to the date of delivery or in which the fetus weighs three hundred fifty (350) grams or more. Induced terminations of pregnancy (abortions) are not reported as fetal deaths. The documents are sent to the National Center for Health Statistics in North Carolina and used for state and national statistical reports, insurance claims, and research and health planning.
	<b>Access Restrictions</b>	KRS 213.131 (5)--50 years. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: INFANT: Name of Child, Date and Time of Delivery, Sex, Address/County of delivery;MOTHER: Current Name, Date of Birth, Birthplace, Residence; FATHER: Name, Date of Birth, Birthplace; Method and Place of Disposition, Place; Name of facility; Cause of Fetal Death; Attendants Signature and Title; Parents Medical History; Medical Risk Factors; Obstetric Procedures; Complication of Labor/Delivery; Method of Delivery
	<b>Retention and Disposition</b>	Retain permanently in Agency.
03834	<b>Marriage License Records (V)</b>	This series documents a marriage or the legal union of two individuals into matrimony. Pursuant to KRS 213.116, the Cabinet is to perform the collection, indexing, tabulation, and registration of data relating to marriages received from each county clerk. These records are used for genealogical research, legal documentation in the settlement of wills, estates, trusts, insurance claims, and Social Security benefits. The records also provides information for research by geographical location, age, race, occupation, education, etc., and in comparison to national trends. A sampling of certificates is sent to the National Center for Health Statistics each year for statistical research.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Brides name, Residence; Grooms name, Residence; Date of Birth; Age; Place of birth; Race, Status (single, widowed, divorced); Number of previous marriages; Names of parents (mothers maiden name); Occupation; Is bride and groom related?, if so, how?; Signature of bride and groom; Signature of county clerk; Date issued; Statement/Signature of one performing ceremony; Date recorded in county; Marriage book no. and page; Date last marriage ended, and how.
	<b>Retention and Disposition</b>	Retain permanently in Agency.

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03835	<b>Certificate of Divorce or Annulment Records (V)</b>	This series documents the dissolution of a marriage (whether a divorce is final or an annulment is complete) and the documentation is received from the Circuit Court Clerk. The information is used for genealogical research, determining national trends by geographical location, age, occupation, etc. It also serves as a legal document reflecting marital status at the time of remarriage, settling wills, estates, trusts, and to ensure that religious requirements for divorce or annulment have been met or substantiating claims for military benefits. A sampling of certificates is sent to the National Center for Health Statistics for statistical research.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: County/State filed; Absolute, Limited Divorce, or Annulment; Date filed; Husband--Name, Date of Birth, Age, Residence, Place of Birth, No. of times married, race, occupation. Wife--Maiden name, Date of Birth, Age, Residence, Place of Birth, No. of times married, race, occupation. Place of marriage, no. of children, date of marriage, Was maiden name restored?, Signature of Circuit Court Clerk.
	<b>Retention and Disposition</b>	Retain permanently in Agency.
03836	<b>Delayed Birth Certificate-Incomplete Application File</b>	This series documents the incomplete application filed with Cabinet for Health and Family Services, Department for Public Health, Vital Statistics Branch, to have a delayed birth issued pursuant to the provisions of KRS 213.056 and 901 KAR 5:020.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a) - personal information, i.e., Social Security Number. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name, date of birth, place of birth, gender of child; name, address and Social Security Numbers of parents; affidavit of parents or nearest neighbor re birth of child; supporting documentation of child's birth.
	<b>Retention and Disposition</b>	Retain in Agency five (5) years, then destroy.
03837	<b>Delayed Birth Certificate (V)</b>	This series documents that an individual has met the requirements necessary to substantiate the alleged facts of birth, and in accordance with the administrative regulations of the Cabinet, a Delayed Birth Certificate may be filed. It serves the same function as a Certificate of Live Birth (03831), but, pursuant to 901 KAR 5:020, the required information was not reported to Vital Statistics by the attending physician (or midwife) at the time of birth, or before the child was seven (7) years old. These certificates are treated in the same manner as birth certificates but have a numbering system that identifies them separately (90000s).
	<b>Access Restrictions</b>	KRS 213.131 (5)-100 years. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name; Date of Birth; Place of Birth; Full Name at Birth; Sex; Twin/Triplet?; Fathers full name, residence at birth, race, age at time of this birth, his birthplace (same for mother, plus her maiden name); Affidavit; Supporting evidence of age (3); Signature of Notary Public; other information; Signature of State Registrar, date filed.
	<b>Retention and Disposition</b>	Retain permanently in Agency or State Archives Center.

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Series	Records Title and Description	Function and Use
03838	<b>Intransfer Index of Births and Deaths</b>	This series provides the location of certificates of births and deaths of Kentucky residents who were born and/or died in another state. The actual certificate non-existent in Kentucky. The actual birth/death certificate must be obtained from the state where the event(s) occurred. The information is received by Vital Statistics (see Intransfer of Birth, Death, and Stillbirth Form-SN 03839) and input into the Vital Statistics Registration/Certification System.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Volume and certificate no. (in other state); Name; Age; State of Occurrence; Mothers Maiden name (on births); Sex; Date of Death/Birth.
	<b>Retention and Disposition</b>	Retain permanently in Agency.
03839	<b>Intransfer of Birth, Death, and Stillbirth Form</b>	This series documents information received from another state regarding the birth or death of a Kentucky resident. Information is from this series is input into the electronic systems. This series provides documentation for statistical reports, however, the original birth or death certificate is retained in the state of the birth/death occurred.
	<b>Access Restrictions</b>	KRS 213.131 (1). Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: DEATH: Volume and certificate no.; Name, sex, date of death, SS #, age, DOB, state of birth, hospital no., state of death, marital status, occupation, industry, state of residence, county of residence, city, census tract, address, cause, place of death. BIRTH/STILLBIRTHS: Vol. and cert. no., name, DOB, sex, place of birth, parents name, age, mothers nativity, certifier, information pertaining to previous births/terminations, medical risk, tobacco and alcohol use, method of delivery, congenital malformations.
	<b>Retention and Disposition</b>	Retain permanently in Agency.
03841	<b>Disinterment and Reinterment Permit File (V)</b>	This series documents permission granted to remove human remains from one cemetery gravesite to another. (A county clerk issues the permit if the move is within the same cemetery.) Most often, a funeral home (director) will fill out the application for a family, then Vital Statistics issues the permit to the family, funeral home or coroner.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Application for Permit--Name of deceased; place of death; date of death; present gravesite; new gravesite; facility or person responsible for moving the gravesite; license no.; date of removal; Signature of responsible party; Approved by (signature); Date of approval. Permit states approval granted with terms of agreement, date, and signature of state registrar (with seal)
	<b>Retention and Disposition</b>	Retain permanently in Agency.

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03842	<b>Disinterment/Reinterment Log (V)</b>	This series is a summary of the Disinterment and Reinterment Permit File (series 03841), in that it retains the vital information regarding the identification of the deceased, date of death, present gravesite, new gravesite, the funeral home, and the date issued. This series will provide the necessary information for genealogists or family members researching gravesites. (NOTE: The earlier created records are being retained on 3 x 5 cards.)
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name of deceased; Date of death; Present Gravesite, including name of town/city and state; Date of Removal; New Gravesite, including name of town/city and state ; Funeral Home; Date Issued; Correspondence from funeral home; Next of Kin Verification Letter and Permission to disinterment and reinterment.
	<b>Retention and Disposition</b>	Retain permanently in Agency
03844	<b>Birth Certificates Prior to 1911 (V)</b>	CLOSED--This series documents the births of individuals prior to 1911 when the Vital Statistics law became effective. It represents record books from 4 Kentucky cities: 1) Covington (1896-1910), 23 volumes; 2) Lexington (1906-1910), 3 volumes; 3) Louisville (1898-1910), 14 volumes; and 4) Newport (1890-1910); 1 volume. This is the only existing documentation of these births. The records were manual documents. *The Department of Libraries and Archives, Research Room maintains filmed records of births from 1852-1910.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: State File no.; Name of child; Place of birth; Date of Birth; Sex; Color; Father, and his nativity; Mother and her nativity, Attending Physician, Book no. and Date filed.
	<b>Retention and Disposition</b>	Retain in the State Archives for permanent retention.
03845	<b>Death Certificates Prior to 1911 (V)</b>	CLOSED--This series documents the death of an individual prior to 1911, before the Vital Statistics law became effective. It represents record books from 4 Kentucky cities: 1) Covington (1880-1910), 59 volumes; 2) Lexington (1894-1910), 25 volumes; 3) Louisville (1866-1910), 15 volumes; and 4) Newport (1884-1910), 3 volumes. This is the only existing documentation of these records. The Department of Libraries and Archives, Research Room maintains filmed records of deaths from 1852-1910.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Certificate no.; Name of deceased; Race; Sex; Age; Date of Birth; Marital Status; Occupation; Place of birth; If foreign born, how long in U.S.; Length of residency in city; Parents names; Parents birthplaces; Place of death; Place of Residence; Date of death; Cause of death; Duration of last illness; Date of interment; Place of interment; Physicians signature/certification; Name of undertaker; Certification of state registrar.
	<b>Retention and Disposition</b>	Retain in the State Archives permanently.

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03846	<b>Birth Index Prior to 1911 (V)</b>	CLOSED--This series indexes the birth records (Birth Certificates Prior to 1911-03844). Covington: 1 volume, Lexington: 1 volume, and Louisville has identified 5 volumes. Newport does not identify the maintenance of an index.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name of child; Date of Birth; County/Place of Birth; Mother and fathers name File no.
	<b>Retention and Disposition</b>	Retain in the State Archives for permanent retention.
03847	<b>Death Index Prior to 1911 (V)</b>	CLOSED--This series indexes the death records (Death Certificates Prior to 1911-03845). Covington: 4 volumes, and Lexington: 3 volumes.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name of deceased, Place of death, Age at time of death, Date of death, Cause of death, Book no. and page no., Date filed.
	<b>Retention and Disposition</b>	Retain in the State Archives Center permanently.
05819	<b>Reports of Induced Termination of Pregnancy (V)</b>	This series documents reports of induced termination of pregnancy in the Commonwealth of Kentucky, regardless of length of gestation, pursuant to KRS 213.101. The person in charge of the institution where the termination occurred shall report to the Vital Statistics Branch within fifteen (15) days after the end of the month in which the termination took place. If the termination occurred outside an institution, the attending physician shall prepare and file the report within fifteen (15) days after the end of the month in which the termination took place. The reports shall contain no information that identifies the physician, woman or man involved per KRS 213.106. The use of induced termination of pregnancy reports are used for medical and health statistical reports only and not incorporated in the permanent official records of Vital Statistics pursuant to KRS 213.106.
	<b>Access Restrictions</b>	KRS 213.106. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Facility name; county of termination; date of termination; patients resident state and county; patients age; marital status, race; education; date of last menses; gestation period; previous number of pregnancies; termination procedure; name of person completing report.
	<b>Retention and Disposition</b>	Retain in Agency two (2) years from date of receipt, then destroy.
06388	<b>Birth Summaries Tabulation</b>	CLOSED: This series no longer created as of 2005. This series documents a summary of all births in the Commonwealth of Kentucky.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Births, Stillbirths, and Occurrence (Recorded by residence, race, sex, legitimacy, hospital, country, attendant, plurality, birth weight, period of gestation, mothers age, parity, congenital malformation, primary cause, and in-or-out-of-hospital)
	<b>Retention and Disposition</b>	Destroy monthly and semi-annual tabulations upon receipt and verification of annual tabulations. Retain annual tabulations permanently in agency.



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06389	<b>Death Statistics Tabulation</b>	CLOSED: This series no longer created as of 2005. This series documents a summary of all deaths in the Commonwealth of Kentucky.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Special Report (1968) (Showing autopsy, burial, county, occurrence, total deaths, autopsy performed, type of burial)
	<b>Retention and Disposition</b>	Retain permanently in Agency
06390	<b>Death Summary Tabulation</b>	CLOSED: This series no longer created as of 2005. This series documents a summary of all deaths in the Commonwealth of Kentucky.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: (Showing: Resident Deaths by County, Age Group, Race, Sex, Primary Cause Month, Intermediate Cause and Supplementary Cause)
	<b>Retention and Disposition</b>	Retain permanently in Agency
06391	<b>Infant Death Summary Tabulation - Under One Year</b>	CLOSED: This series no longer created as of 2005. This series documents summaries of all infant deaths under one (1) year of age in the Commonwealth of Kentucky.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: (By Attendant, Sex, Residence, Age, Primary Cause, Race, County of Residence, Intermediate Cause, Separately by Age, and Occurrence)
	<b>Retention and Disposition</b>	Retain permanently in Agency
06392	<b>Matched Infants Tabulation</b>	CLOSED: This series no longer created as of 2005. This series documents the summary of infant births matched to infant deaths in the Commonwealth of Kentucky.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Matched infant births to deaths by county. (By County of Residence, Birth Weight, Attendant, In-or-Out of Hospital)
	<b>Retention and Disposition</b>	Retain permanently in Agency

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06393	<b>Morbidity Report Tabulation</b>	CLOSED: This series no longer created as of 2005.This series documents a summary of morbidity reports in the Commonwealth of Kentucky.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: (By County, Disease, Number of Cases Reported, Sex, Race, Reported By, and Age)
	<b>Retention and Disposition</b>	Retain permanently in Agency
06394	<b>Cancer Deaths Tabulation</b>	CLOSED: This series no longer created as of 2005.This series documents a summary of cancer deaths in the Commonwealth of Kentucky.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: (By cause, stage, sex, race, and age) (By cause, stage, sex, race, and age) (Record no longer issued)
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; transfer to State Archives Center for permanent retention.
06395	<b>Deaths by Occupations Tabulations</b>	CLOSED: Series no longer created as of 2005.This series documents a summary of deaths of persons by his/her occupation in the Commonwealth of Kentucky.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Cause of death as listed on Death Certificate - ages 20-64, by primary cause (As listed on Death Certificate - ages 20-64, By primary cause) (Record no longer issued)
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; transfer to State Archives Center for permanent retention.
06396	<b>Deaths Under Fourteen Years of Age Tabulation</b>	CLOSED: Series no longer created as of 2005.This series documents a summary of deaths of persons under the age of fourteen (14) in the Commonwealth of Kentucky.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Deaths by Sex, Race, County, Cause (By Sex, Color, County, Cause) (Old record; no longer issued)
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; transfer to State Archives Center for permanent retention.

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06397	<b>Accidental Death Summary</b>	CLOSED: Series no longer created as of 2005.This series documents a summary of all the accidental deaths in the Commonwealth.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name and date of death of decedent; type of accident; county death occurred. (Computer Tape)
	<b>Retention and Disposition</b>	Retain permanently in Agency
06398	<b>Death Rates by County of Residence</b>	CLOSED: Series no longer created as of 2005 .This series documents a statistical list of deaths by decedents county of residence.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: County, dates and number of deaths.
	<b>Retention and Disposition</b>	Retain permanently in Agency
06399	<b>Death Rates by Occurrence</b>	CLOSED: Series no longer created as of 2005.This series documents the statistical list of deaths by occurrence, i.e. natural causes, accident, etc.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: County, dates and causes of death (natural cause, accident, etc.)
	<b>Retention and Disposition</b>	Retain permanently in Agency
06400	<b>Death from Leading Causes</b>	CLOSED: Series no longer created as of 2005.This series documents a statistical list of deaths by cause in the Commonwealth.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Decedent name, date of death, age and cause.
	<b>Retention and Disposition</b>	Retain permanently in Agency

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06401	<b>Live Births (By County of Residence)</b>	CLOSED: Series no longer created as of 2005.This series documents a list of live births by county of residence.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Date of birth, sex, and county of infant.
	<b>Retention and Disposition</b>	Retain permanently in Agency
06402	<b>Live Births (By County of Occurrence)</b>	CLOSED: Series no longer created as of 2005.This series documents a list of live births by county in which the birth occurred.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Date and place of birth, sex, and county.
	<b>Retention and Disposition</b>	Retain permanently in Agency
06403	<b>Maternal and Infant Mortality Rate</b>	CLOSED: Series no longer created as of 2005.This series documents a statistical list of maternal and infant deaths in the Commonwealth.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Date and place of death of mother and infant; county death occurred.
	<b>Retention and Disposition</b>	Retain permanently in Agency
06404	<b>Population Estimate Age Breakdown</b>	CLOSED: This series no longer created as of 2004.This series documents an estimated population count by age groupings in the Commonwealth of Kentucky.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Estimated population count by age group residing in the Commonwealth of Kentucky.
	<b>Retention and Disposition</b>	Retain permanently in Agency

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Epidemiology and Health Planning, Division of  
Vital Statistics Branch

Record Group  
Number  
**1442E**

Series	Records Title and Description	Function and Use
06405	<b>Population Estimate Age Breakdown (By County)</b>	CLOSED : This series no longer created as of 2004.This series documents an annual report of estimated population for the Commonwealth of Kentucky, also by District and per county.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Total estimated population: 1. Commonwealth of Kentucky, 2. per District, and 3. per county.
	<b>Retention and Disposition</b>	Retain permanently in Agency
06406	<b>Population Estimate Age Breakdown</b>	CLOSED: This series no longer created as of 2004.This series documents an annual report of district and county estimated population by race and gender.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Estimated population by race and gender per county and district.
	<b>Retention and Disposition</b>	Retain permanently in Agency
06407	<b>Resident Births (By County)</b>	CLOSED: Series no longer created as of 2005.This series documents a statistical report of births per county.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Number or count of births by county
	<b>Retention and Disposition</b>	Retain permanently in Agency
06408	<b>Resident Births (By Percent Born in Hospital)</b>	CLOSED: Series no longer created as of 2005.This series documents a statistical report regarding the percentage of births in a hospital.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Percentage of births in a hospital by county.
	<b>Retention and Disposition</b>	Retain permanently in Agency

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Laboratory Services, Division of

Record Group  
Number  
**1442L**

Series	Records Title and Description	Function and Use
<b>04036</b>	<b>Specimen Test Result Report (V)</b>	This series documents the newborn screening test results from specimens received from hospitals, local health departments, clinics, or doctors offices. Newborn screening test results are printed in a paper medium from the Newborn Screening Automated System (NSAS).
	<b>Access Restrictions</b>	KRS 333.130, KRS 214.420, KRS 61.878 (1)(a). Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name, address and contact information of patient; Submitters name, address; Social Security Number of mother; Name of test; Age; Ethnic origin; County; Remarks; Date Collected, Received; Lab ID; Sample type; Clerks initials; Results of test.
	<b>Retention and Disposition</b>	Retain in Agency twenty one (21) years; destroy
<b>04039</b>	<b>Specimen Submission File (V)</b>	This series documents the information related to the submission and testing of a specimens other than newborn screening by Division of Laboratory Services (DLS). The specimen types include clinical specimens and public health related environmental specimens. The clinical specimen(s) is taken at the local health department, hospital, clinic, or doctors office and sent to DLS with the identifying submission form or entered electronically into the DLS electronic Laboratory Information System (LIS) and/or OUTREACH. The clinical test results are then recorded and reported through the Laboratory Information System (LIS) and a copy is sent electronically to the originating agency. Clinical test results with the exception of HIV results, are electronically available in the KY Health Information Exchange. Environmental test requests and results are submitted and reported via the DLS electronic LIS or by paper submission and paper reporting forms. A primary function of DLS, other than doing tests and recording results, is to provide and maintain accurate statistics and reports of clinical and environmental reportable to the Kentucky Department of Public Health.
	<b>Access Restrictions</b>	KRS 333.130, KRS 61.878 (1)(a), KRS 214.420. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name of patient, or identifying number; Address; Age; Sex; Ethnic origin; County of residence; Submitter and address; Date specimen collected; Source of specimen; Sample number; Clinical findings; Purpose of examination; Results of test; Date received; Laboratory number; Date verified and released; and initials clinical or environmental staff who procured specimen.
	<b>Retention and Disposition</b>	Retain in Agency twenty one (21) years; destroy.
<b>04087</b>	<b>Checklist for Quality Control of Bacteriology Media</b>	This series documents the quality control runs on bacteriological media, reagents and kits used for testing of all bacteriological organisms. This testing ensures the agency, and agencies such as the Clinical Lab Improvement Association (CLIA), that lab standards for testing are met.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Supplier of media; Lot number; Date received; Expiration date; Dates Quality Control started and completed; Test results for growth support; Tests for Sterility Check; and Appearance (accept/reject) Quality Control evaluator.
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; destroy.

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Laboratory Services, Division of

Record Group  
Number  
**1442L**

Series	Records Title and Description	Function and Use
04092	<b>Agglutinations and Related Test Results</b>	This series documents the test results for select organisms, such as Brucella and Tularemia. It is used to compile statistics and create reports. Test results for clinical specimens are available through the electronic Laboratory Information System (LIS).
	<b>Access Restrictions</b>	KRS 333.130. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Patients name, address, sex, age; ethnic origin; Submitters name and address; Date specimen collected; Source of specimen; Examination requested; test results; Date received; Laboratory number; Date reported and correspondence.
	<b>Retention and Disposition</b>	Retain in Agency one (1) year; transfer to the State Records Center for twenty (20) years; total retention is twenty one (21) years.
04094	<b>Inventory Card File</b>	CLOSED SERIES: Series no longer created, effective January 25, 2012; however, retention has not been met. This series was created by Laboratory Services (stockroom) to keep a running inventory of all supplies maintained by Laboratory Services. The cards indicate to the storekeeper when its time to re-order supplies. It is imperative that supplies be available when needed. The file is used in planning and budgeting of supplies and materials used in the lab. This series was previously SN 959. *Reference would be minimum, possibly to verify orders for volume or cost.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Date received; Quantity received; Date issued to lab employee; Quantity issued; Balance on hand; Inventory date; Inventory balance.
	<b>Retention and Disposition</b>	Retain in Agency and destroy three (3) years after last date of entry and audit.
04096	<b>Center for Disease Control (CDC) Record (V)</b>	This series documents the status of specimens sent to the Center for Disease Control (CDC) in Atlanta, Georgia for testing. Division of Laboratory Services does not perform certain tests that are more efficiently done or need to be performed in a higher level safety facility. The card is initiated when a specimen is received and completed upon return of the results.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a), KRS 333.130. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name of patient; Lab number; Age; Sex; Ethnic Origin; Submitter and address; Test requested; Specimen type; Specimen number; Date taken; Date frozen; Date sent; Date results received; and results.
	<b>Retention and Disposition</b>	Retain in Agency twenty one (21) years; destroy.
04097	<b>Rh and Antibody Record Card (V)</b>	CLOSED SERIES: This series has not been created by Public Health, Laboratory Services since 2004 as individual hospitals conduct testing. Retention will be met in January 2026. This series documents the names of prenatal patients who have tested Rh negative and have Rh antibodies. These patients are followed closely by the physician or health department, and often, repeat blood samples are sent for additional testing. If Rho Gam, an Rh antibody, is given to the patient, it is documented on the card. Administration of the Rh antibody to an Rh-negative mother after delivery of an Rh-positive infant usually prevents isoimmunization (immunization of an individual against the blood of an individual of the same species) and thus prevents hemolytic disease of the newborn in subsequent pregnancies. The dose must be repeated after each delivery. *LIMS-Laboratory Information Management System. **This series became a part of LIMS in 1990. The cards have been discontinued, but will continue to be retained in that format. There are no current plans to have them filmed. This was previously SN 1039.3.
	<b>Access Restrictions</b>	KRS 333.130, KRS 61.878 (1)(a). Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name of patient; Lab no.; Age; Sex; Ethnic Origin; Submitter and address; Date specimen taken; RH type; Antibody; Testing date; Comments.
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; transfer cards to State Records Center for sixteen (16) years; total retention is twenty one (21) years.

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Laboratory Services, Division of

Record Group  
Number  
**1442L**

Series	Records Title and Description	Function and Use
04098	<b>Reagent Red Blood Cells Resolve Panel A Antigam Antigen Profile</b>	<p>CLOSED SERIES: This series has not been created by Public Health, Laboratory Services since 2004 as individual hospitals conduct testing. Retention will be met in January 2026. This series serves as a control sheet for reagents. A reagent is a substance used to produce a chemical reaction. It is used to detect the presence of another substance. Laboratory Services must be sure that their testing procedures and methods are in working order, and that products and materials used for their services are up to par. These tests are done periodically, usually monthly, to identify reagent reactions for Panel A (a trademark). If materials/tests do not react as they are expected, the reagents are replaced. (The test results will find all Panel A cells positive for the following antigens unless otherwise noted on the grid: PP1P(k)(Tja), Vel, Ge, Yt, Ik U, Kp(b), Lu(b), Js(b). Panel A cells are negative with sera detecting cells of Miltenberger classes I through IV and negative for low frequency antigens Sc2, Wr(a), Di(a), Js(a), C(w), and V unless otherwise noted on the grid of the ANTIGRAM Antigen Profile.)</p> <p><b>Access Restrictions</b> Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series may contain: Lot no.; Expiration Date; Date of testing; Antibodies Identified; Comments; Technologist; Cell no.; Donor No.; Geno-type; Antiglobulin; Special Antigen Typing; Test Results; Cord Cells; A1 Cells; A2 Cells; B Cells; Selected Antigen Profile; Test Cell Identification</p> <p><b>Retention and Disposition</b> Retain in Agency five (5) years; destroy</p>
04099	<b>Patient Reagent Red Blood Cells Resolve Panel A Antigam Antigen Profil</b>	<p>CLOSED SERIES: This series provided a profile on prenatal patients found to have Rh antibodies. Often times, several specimens were drawn from a patient throughout her pregnancy and documented on this form. This series was automated in the Laboratory Information Management System (LIMS) (04102) in March, 1990.</p> <p><b>Access Restrictions</b> KRS 333.130, KRS 61.878 (1)(a). Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Patients name; Hospital; Doctors name; Diagnosis; Age; Racial Origin; Sex; Group, Rh, Direct Antiglobulin Profile: Polyspecific AHG, Anti-IgG, AntiC3b, Anti-C3d; Date Specimen Drawn; Date of Testing; Antibody(ies) Identified; Comments; Technologist; Cell no.; Donor no.; Special Antigen Typing; Test Results.</p> <p><b>Retention and Disposition</b> Retain in Agency twenty one (21) years; destroy.</p>
04103	<b>Chlamydia and Gonorrhea Reports (V)</b>	<p>This series documents all Chlamydia and Gonorrhea records including but not limited to quality controls, analyzer runs, patient reports, validation studies and proficiency test results.</p> <p><b>Access Restrictions</b> KRS 333.130, KRS 61.878 (1)(a). Agencies should consult legal counsel regarding open records matters.</p> <p><b>Contents</b> Series may contain: Patients name, date of birth, sex, ethnic origin, Social Security Number, address, and phone number; name of physician, phone number, address, Identification number; Submitted by: hospital, physician, health department and address; test(s) performed; date of specimen; collectors initials and patient results.</p> <p><b>Retention and Disposition</b> Retain in Agency two (2) years. Transfer to State Records Center for three (3) years, then destroy. Total retention is five (5) years.</p>



# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Laboratory Services, Division of

Record Group  
Number  
**1442L**

Series	Records Title and Description	Function and Use
04105	<b>Newborn Screening Reports</b>	This series documents the computer printout of all clinical chemistry documents regarding newborns screen tests, including but not limited to Quality Controls, Analyzer runs, specimen submission files, test results, faxes, validation studies and proficiency tests.
	<b>Access Restrictions</b>	KRS 333.130, KRS 61.878 (1)(a). Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Date of Quality Control run; Date completed; Supplier of media; Lot number; Test results; Accuracy level; QC evaluator; Mothers name, address, county of residence, Social Security Number, and phone number; Name of physician or Midwife; name of submitter; First specimen/Repeat; Newborns date of birth, sex, ethnic origin, test results, validation studies, proficiency test results; faxes, quality controls.
	<b>Retention and Disposition</b>	Retain in Agency two (2) years; transfer to the State Records Center for nineteen (19) years; total retention is twenty one (21) years.
04106	<b>Complement Fixation (CF) Serology Control Record</b>	This series documents the complement fixation (CF) test controls indicating whether the CF run is acceptable or not and is basis of tests for syphilis. The CF process explanation is as follows: A complement is a series of enzymatic proteins in normal serum which, in the presence of a specific sensitizer, destroy bacteria and other cells. When activated, the components are involved in a great number of immune defense mechanisms. A complement fixation is the action of a complement on an antigen which in turn has been acted on by its antibody. During the uniting of antigen, antibody, and complement, the complement is rendered inactive or destroyed.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Type of control (C, H, SRBC), Sera inactivated, loops calibrated; Date; Technologist; Dilution; Lot; Antigen; Remarks
	<b>Retention and Disposition</b>	Retain in Agency two (2) years; destroy.
04108	<b>Calibration of Instruments Record (LIMS and NSAS printouts)</b>	This series documents the calibration results of tests run on the instruments in the Clinical Chemistry and Biochemistry Labs. It will document the accuracy and precision necessary for the instruments to perform their functions properly. The printouts are generated from the Laboratory Information Management System (LIMS) and the Newborn Screening Automated System (NSAS).
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Date of run; Lot nos. (calibration/reagent); Type of test; Control; Range; Results; QC High/Low; Assay #; Isotope; Counting time; Background, CPM; Changes?; Results.
	<b>Retention and Disposition</b>	Retain in Agency two (2) years; transfer to the State Records Center for nineteen (19) years; total retention is twenty one (21) years.

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Laboratory Services, Division of

Record Group  
Number  
**1442L**

Series	Records Title and Description	Function and Use
04109	<b>Newborn Screening Test Report</b>	This series documents all newborn screening test results and identifies all parameters in detail, concentrations of assays in relation to specimen results, summary information, as well as results of samples used. This printout is generated from the Newborn Screening Automated System.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Configuration; Assay ID; Date; Standard; Concentration; Counts; Percentage of Accuracy; Calculated Value; Percentage of Difference; Parameter; Lower Limit; Upper Limit; Assay Value; Mean; Statistics Summary; No. of Samples; Arithmetic Mean; Geometric Mean; Sample Mode; Standard Deviation; Cutoff Value; Cutoff Method; Presumptive Positive Report (Accession number, Concentration, Percentile, Results for all samples/range; Calculation Values; Controls (Unknown number, Average Concentration, tube number); QC Report (Number., Assay ID, Files Merged; Begin Account Number - End Account Number, Mean, N, SD, 2SDC, CUTF, CV).
	<b>Retention and Disposition</b>	Retain in Agency two (2) years; transfer to the State Records Center for nineteen (19) years; total retention is twenty one (21) years.
04110	<b>Unsatisfactory Newborn Screening Recalls Completed, Not Received File</b>	This series documents the results of an initial satisfactory test and documentation that a request was made for a second specimen due to the unsatisfactory results of a first test. Results are returned to the submitter or physician and patient, requesting a repeat test. These are generated from Newborn Screening Automated System KY Child. This file aids in tracking the unsatisfactory results that are or are not repeated and returned.
	<b>Access Restrictions</b>	KRS 333.130, KRS 61.878 (1)(a). Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name; Mothers name, address; Date of Specimen; Hospital; Doctor, address; Date first/second specimen received; Date tested; T4 Results; Cutoff; 2nd T4 results; TSH results; Phone log noting date/time of call made by, and to whom; Request to bring baby in for referral; Request to send in blood specimen; Date certified letter was mailed; Notification to hospital/medical center of request(s).
	<b>Retention and Disposition</b>	Retain in Agency two (2) years; transfer to the State Records Center for nineteen (19) years; total retention is twenty one (21) years.
04111	<b>Newborn Screening Worklist</b>	This series documents all presumptive positive results of newborn screens. It also documents all unsatisfactory specimens and test location. The record facilitates computer entry [Newborn Screening Automated System - (NSAS)] of test results and provides a checklist for all abnormal test results, as well as a record of the unsatisfactory specimens received by the lab.
	<b>Access Restrictions</b>	KRS 133.130; KRS 61.878 (1)(a). Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Julian Day; Date; Satisfactory/Unsatisfactory/Follow-Ups; Not requested; Batch number; Worklist/Unsatisfactory Number, Code; Location of submitter
	<b>Retention and Disposition</b>	Retain in Agency two (2) years; transfer to State Records Center for nineteen (19) years; total retention is twenty one (21) years.

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Laboratory Services, Division of

Record Group  
Number  
**1442L**

Series	Records Title and Description	Function and Use
04112	<b>Specimen Log Books (Neonatal Patients)</b>	This series provides patient demographic information on neonatal patients, or other information determined to be unique or valuable. Patients that are reported as presumptive positive, in particular, are identified. This series serves as a verification tool of tests that have been completed.
	<b>Access Restrictions</b>	KRS 333.130, KRS 61.878 (1)(a). Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Mothers name, address; Childs name, sex; Location of specimen collection; and whether or not the specimen tested was presumptive positive.
	<b>Retention and Disposition</b>	Retain in Agency two (2) years; transfer to the State Records Center for nineteen (19) years; total retention is twenty one (21) years.
04113	<b>Sample Collection Data and Analysis Report (V)</b>	This series identifies the type of sample being submitted for bacteriological testing and chemical analysis. Laboratory Services has the responsibility for completing test analyses of the samples submitted by various agencies, and determining their results, however, it may not disclose those results pursuant to KRS 333.130. The submitter or submitting agency will have such a responsibility. Food samples may be tested for analysis (salmonella, mercury, other pathogens, mold), or an analysis may examine rodents, insects, or pesticide residue.
	<b>Access Restrictions</b>	KRS 61.878 (1)(g). Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Sample number.; Date collected; Cost of sample; Collector; Sample procured from; Description of sample (Code, if any); Method of collection; Reason for collection; Amount in lot before sampling; Mail report to:(address); Manufacturer (name and address); Other; Remarks; Requested Lab Analysis (Bacteriological, Chemical, Other, Standard Plate Count, Staphylococcus, Salmonella, Mold/Yeast, Antibiotic, Pesticide Residue); Report of Laboratory Analysis (Lab no., State Seal attached, Laboratory findings; Comments); Signature of Analyst; (Check) No Further Action indicated on this sample; Analysis indicates sample is in violation of laws.
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; destroy
04114	<b>Chain of Custody Record (Water Samples) (V)</b>	This series documents the transfer of a water sample to Laboratory Services (LS) for an analysis to be completed and person having the responsibility or custody of sample at all times. It traces a water sample through every step from collection to completion and reporting. This is to provide proof against potential tampering of samples, which would be required in a lawsuit. Each county health department has environmental staff that alone are certified to submit water samples. Samples may be submitted on behalf of realtors/contractors, dairy manufacturers, water treatment plants, public pools, beaches, etc. Physicians may submit water samples without the assistance of the environmentalist if done so on behalf of a patient that is thought to have consumed contaminated water. The record is also to satisfy requirements for laboratory certification by the Department of Environmental Protection, Division of Drinking Water.
	<b>Access Restrictions</b>	KRS 61.878 (1)(g). Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Location Sample was collected from; Name/address of person collecting sample; Water ID number; Program submitting sample (FHA-VA, Private Water, Milk, Swimming Pool, Radiation, doctor request); Sample Station Description; Container/Preservation Method; Analysis Requested; (Lab Use Only)-Sample number, Report number; Field number; Time/Date Sample collected; Signature of Sampler(s); Relinquished by; Agency represented; Time/Date; Received by (signature); Agency represented.
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; destroy.

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Laboratory Services, Division of

Record Group  
Number  
**1442L**

Series	Records Title and Description	Function and Use
04116	<b>Laboratory Record Card</b>	This series documents the testing done on specimens in order to determine the identification of an organism, such as mycobacteria, enteric pathogens, the testing procedures, dates, and results of tests. It tracks work done on a specimen from the time it is received until all reporting requirements are completed and is the most comprehensive record of testing activity on specimens received by the laboratory.
	<b>Access Restrictions</b>	KRS 333.130, KRS 61.878 (1)(a). Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Lab Number; Identified as; Date collected/received; source; Patient; Detailed testing information--type of test, temperature control, specimen number, biochemicals, color, odor, screening, growth; Notes, comments; Technician; and Date.
	<b>Retention and Disposition</b>	Retain in Agency three (3) years; transfer to the State Records Center for eighteen (18) years; total retention is twenty one (21) years.
04117	<b>Positive Tuberculosis Culture Record (V)</b>	This series documents those mycobacteria specimens that have tested positive for Tuberculosis. Mycobacterium is a genus of (acid-fast) organisms belonging to the mycobacteriaceae which includes the causative organisms of tuberculosis and leprosy. Leprosy is a communicable disease characterized by skin lesions and symmetrical involvement of peripheral nerves with anesthesia, muscle weakness, and paralysis. Tuberculosis, also infectious, most commonly affects the respiratory system. This record is used to aid in tracking previous results of specimens of patients. The TB Control Branch, Department of Health Services will do the primary follow-up with these patients. It is used in determining if other tests should be run on the specimen. *Dependent on follow-up activity required on a patient.
	<b>Access Restrictions</b>	KRS 333.130, KRS 61.878 (1)(a). Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name/address/age/race/sex of patient; County; Date specimen received; Specimen number; Type of Specimen; Direct Smear; Culture; Date Reported
	<b>Retention and Disposition</b>	Retain in Agency and destroy five (5) years after tests results prove negative.
04118	<b>Water Chemical Analysis Submission File</b>	This series documents the submission of a water sample to be tested for chemicals from a county health department and the test results. The original card is returned to the county health department. A copy is retained for informational purposes, should any questions arise from the test results, or another sample sent for further testing.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name of water supply system or establishment, address; Lab number; Owner, address, phone; Authorized collector signature, title; Type: Raw, In Process, Finished; Category: Public, Semipublic, Private; Source; Treatment; Nature of test: New supply, routine, physicians request; Water supply problem; Date collected/tested; Test activity (pH, Alkalinity, Fluoride, Solids, Color, etc.)
	<b>Retention and Disposition</b>	Retain in Agency five (5) years and destroy.

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Cabinet for Health and Family Services  
Department for Public Health  
Laboratory Services, Division of

**Record Group  
Number  
1442L**

Series	Records Title and Description	Function and Use
04148	<b>Daily Patient Audit Control File</b>	This series documents the tests completed daily on the clinical chemistry lab instruments. The lab must be able to track which test(s) was performed on which instrument(s) each day should any questions arise (in court) from the test results. Patient information is provided by the Laboratory Information Management System (LIS). Other information is produced by the instrument(s) performing the test(s)
	<b>Access Restrictions</b>	KRS 333.130. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Patient name; Patient ID Number; Social Security Number; Date/Time; Test Results; Physicians name, license number and address.
	<b>Retention and Disposition</b>	Retain in Agency one (1) year; transfer to the State Records Center for twenty (20) years; total retention is twenty one (21) years.
05487	<b>Bacteria Testing Files - Milk and Water (V)</b>	This series documents the testing by Laboratory Services of milk and water specimens for bacteria. Requests for tests come through the Milk Safety Branch. Tests take forty-eight (48) to seventy-two (72) hours and results are reported to the Local Health Department or other requestor, and, for milk testing, to the Milk Safety Branch. Laboratories are inspected annually by the Environmental Protection Association and every three (3) years by the Food and Drug Administration. These records are a part of those inspections.
	<b>Access Restrictions</b>	KRS 333.130; KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Submission forms; log sheets; quality control records; record cards; patient records
	<b>Retention and Disposition</b>	Retain in Agency three (3) years; transfer to Sate Records Center for eighteen (18) years; total retention is twenty one (21) years.

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Maternal and Child Health, Division of

Record Group  
Number  
**1442M**

Series	Records Title and Description	Function and Use
01155	<b>Special Project File</b>	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	(Headstart, Appalachian Demonstration, Robinson Foundation)
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; transfer to State Archives Center for permanent retention.
01210	<b>Records and Documents; The Children's Task Force</b>	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Includes: Minutes and/or Summary of Actions to Advisory Council
	<b>Retention and Disposition</b>	Retain in Agency ten (10) years; transfer to State Archives Center for permanent retention.
01280	<b>Questionnaires on Deaths Associated with Pregnancy and Childbirth</b>	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; destroy
01292.	<b>Phenylketonuria Reports</b>	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Retention and Disposition</b>	Retain in Agency five (5) years; transfer to State Archives for permanent retention.
01293	<b>Patients' Case Records</b>	
	<b>Access Restrictions</b>	KRS 61.878(1)(a)
	<b>Contents</b>	Includes: History, Physical Progress, Blood Level Reports, Diet Histories, Psychological Evaluations, Home Visit Reports, Physicians Referrals
	<b>Retention and Disposition</b>	Retain in Agency and transfer to Archives (5) five years after termination of services

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Maternal and Child Health, Division of

Record Group  
Number  
**1442M**

Series	Records Title and Description	Function and Use
06431	<b>Patient Blood Lead Level Laboratory Reports</b>	This series documents the blood lead level laboratory reports of infants and adults found or suspected to have a 2.3 micrograms per deciliter of whole blood level of lead in his or her blood and received by the Division of Maternal and Child Health per KRS 211.902. Elevated blood lead level means any blood lead level greater than or equal to levels consistent with recommendations by the Centers for Disease Control and Prevention and the American Academy of Pediatrics per KRS 211.900 - 905. The Center for Disease Control and Prevention in Atlanta, Georgia, also receives the elevated blood lead laboratory reports.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a). Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name, age, date of birth, county, and address of patient; name, address, phone number of facility drawing blood; name and identification number of lab employee; physician name and address; test results; and if applicable, name, address of laboratory conducting test.
	<b>Retention and Disposition</b>	Retain paper documents in Agency one (1) year after date of scan, then destroy. Retain electronic documents twenty-one (21) years from date of receipt, then destroy.
06433	<b>Maternal Mortality File</b>	This series documents summaries of the factors and actions that result in maternal deaths during childbirth as determined by the Maternal Mortality Review Committee (MMRC). MMRC determines, by scientific and confidential analysis, all avoidable factors related to maternal deaths so these deaths may be reduced or eliminated through improvement in education and practice. The information is also submitted to the American Academy of Pediatrics and American Congress of Obstetricians and Gynecologists for study in the prevention of maternal childbirth deaths.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a) - personal information; KRS 213.131 (5) - death certificate; KRS 213.131 (5) - birth certificate. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Copies of death and birth certificates; documentation relating to cause of death.
	<b>Retention and Disposition</b>	Retain in Agency permanently.
06434	<b>Fetal and Infant Mortality Review Grant File</b>	This series documents summaries of fetal deaths occurring in the Barren River Health District meeting the requirements under the Fetal Infant Mortality Review Grants Program (FIMR). The information provided assistance in determining Sudden Infant Death Syndrome (SIDS) intervention/prevention of fetal deaths. The Barren River Health District was the only participant in the Commonwealth of Kentucky for the Fetal and Infant Mortality Grant and was a one time grant.
	<b>Access Restrictions</b>	KRS 61.878 (1)(a) - personal information; KRS 213.131 (5) - death certificate. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Copies of death certificates; county of death; parents address; and if applicable, infant name
	<b>Retention and Disposition</b>	Retain in Agency permanently.

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Maternal and Child Health, Division of

Record Group  
Number  
**1442M**

Series	Records Title and Description	Function and Use
06507	<b>Governor's Office of Wellness and Physical Activity Program Records</b>	This series documented the Governors Office of Wellness and Physical Activity fitness program, promoting a healthy lifestyle for all citizens of the Commonwealth. The program ceased to exist as of February 2008 due to lack of funding.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Copies of guidelines, budget items, expenses, and documentation of distribution of grant monies for local, county and state activities to promote a healthier Commonwealth
	<b>Retention and Disposition</b>	Retain in agency five (5) years, then destroy.



# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Maternal and Child Health, Division of  
Nutrition Services Branch

Record Group  
Number  
**1442M**

Series	Records Title and Description	Function and Use
03311	<b>Food Instrument</b>	This series documents the redemption of Women, Infants and Children (WIC) food instruments by program participants at authorized vendors. WIC is a federally funded program that serves pregnant, breastfeeding and postpartum women, infants, and children up to age five (5) years. The program provides nutritious foods and nutrition education to low income women in an attempt to upgrade the nutrition of this at-risk group. Once a client is determined eligible, he/she is certified to receive the food instruments for six (6) months or longer, depending on his status.
	<b>Access Restrictions</b>	7 CFR, Part 246.26. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Participants name; ID #; valid dates; date redeemed; price; vendor number; Participants signature; and a void indication, if applicable.
	<b>Retention and Disposition</b>	Retain in Agency and destroy after three (3) years and six (6) months and submission of closeout report and audit.
03312	<b>Documentation for Federal Reports</b>	This series documents the information utilized to prepare required reports per federal Women, Infants, and Children (WIC) regulations. The WIC program is funded by the U.S. Department of Agriculture in an attempt to upgrade the nutrition for this at-risk group. The program serves pregnant, breastfeeding, postpartum women, and infants and children up to age five (5) years. Eligibility is determined through the Local Health Department (LHD) staff, who issues the food instruments, and are ultimately redeemed at an approved grocery. The documentation provides information regarding the number of clients served and total expenditures and consists of expense reports from Local Health Departments and backups of monthly federal reports containing information such as participant data, rebate billing, vendor food claims and administrative expenses.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Monthly expenditure reports for agencies conducting WIC programs including; monthly financial management and participation reports; state agency expenditures; vendor claims and rebate billing.
	<b>Retention and Disposition</b>	Retain in Agency three (3) years, transfer to State Records Center for five (5) years after submission of final Federal Fiscal Report and audit, then destroy. Total retention is eight (8) years.
03949	<b>Vendor File</b>	This series documents the approval of each authorized vendor to participate in the WIC Program. It contains documents indicating that a vendor has met the necessary criteria set by the state and federal regulations to be included in the program. The vendor must remain in good standing in these areas to continue as a WIC participant. The file includes monitoring information such as price lists and claim letters resulting from monitoring reviews and reviews of redeemed WIC Food Instruments (03311). The file includes documentation of compliance buys and any resulting action such as a sanction letter and hearing officers decision. A sanctioned vendor may be removed from the program due to violations of state or federal regulations. When a store is sold, the new owner must complete a new application, sign an agreement, and receive a new vendor number. A sanctioned vendor can reapply to the WIC Program once the sanction or termination time is over and will continue with the same vendor file.
	<b>Access Restrictions</b>	7 CFR Part 246.26 (e). Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	May include: vendor application; monitoring forms; price lists; compliance documentation; hearing decisions; sanction letters; claim letters and correspondence.
	<b>Retention and Disposition</b>	Retain in Agency and destroy 10 years after lapse of contract, sale or close of business, or termination of vendor for an administrative (non-sanction-related) reason. NOTE: Sanctioned vendor files dated from October 1999 forward must be retained permanently.

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Maternal and Child Health, Division of  
Nutrition Services Branch

Record Group  
Number  
**1442M**

Series	Records Title and Description	Function and Use
03950	<b>Vendor Agreement</b>	This series outlines the contractual relationship among the Women, Infants, and Children (WIC) vendor, the local health agency, and state agency. It outlines the vendors rights and responsibilities under both federal and state regulation and under agency policy and procedure for compliance under the WIC program. The agreements are signed by the owner of the vendor and by the local health agency and approved by the state agency. Without an approved WIC vendor agreement, a grocery or pharmacy cannot accept or be paid for WIC food instruments. The file is utilized in (termination) hearings of vendors, if a termination is appealed. The agreement is renewed annually.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name, address and authorized number of vendor; name and address of local health agency; outline of responsibilities; and approving signatures.
	<b>Retention and Disposition</b>	Retain in Agency two (2) years and transfer to State Records Center for six (6) years, then destroy. Total retention is eight (8) years.
05478	<b>Request to Consider Issuance of a Special Formula</b>	This series documents any required agency approval of a Women, Infant, and Children (WIC) participants special medical food or formula. This represents a medical food or formula that is outside the contracted standard milk-based formulas. The local health department or other WIC agency submits the request for approval, which indicates the formula name, date of prescription, diagnosis, period of time for which the formula is requested and the health professional requesting the formula. The state agency approves or disapproves the formula or medical food issuance and returns the original document to the initiating agency. The initiating entity then issues the appropriate food package and places the approval in the participants medical record.
	<b>Access Restrictions</b>	7 CFR 246.26. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Agency requesting formula, patient name, formula requested, date and copy of prescription, diagnosis, doctor name and address, signature of health professional requesting formula and approval signatures.
	<b>Retention and Disposition</b>	Retain in Agency three (3) years and six (6) months. Destroy after audit.
06366	<b>Authorization for Services - Breast pump Rental</b>	This series documents rental of electric breast pumps to Women, Infants, and Children (WIC) participants for specific medical reasons. The records serves as a request for payment on a breast pump rental station or to a DME for provision of an electric breast pump to a WIC participant who has received proper diagnosis . The WIC Program utilizes this form to authorize payment of the billed amount.
	<b>Access Restrictions</b>	7 CFR Part 246.26. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name, address and tax ID number of vendor; Names, address, birthdate, county of residence of patient; diagnosis (reason for need); appropriate signatures from local health agency, patient and DME/breast pump rental station; itemized charges; authorization to pay.
	<b>Retention and Disposition</b>	Retain in Agency three (3) years and six (6) months, then destroy.

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Cabinet for Health and Family Services  
Department for Public Health  
Maternal and Child Health, Division of  
Nutrition Services Branch

**Record Group  
Number  
1442M**

Series	Records Title and Description	Function and Use
06367	<b>State Plan (V)</b>	This series documents the Commonwealths policies and procedures for agencies that are funded through the Cabinet for Health and Family Services, Department of Public Health, Division for Maternal and Child Health, Nutrition Services Branch to provide services of the Women, Infants, and Children (WIC) Program per the requirements of 7 CFR 246. It is the source of continual reference during its official life span. The state plan is subject to federal review and monitoring. Amendments are written when there are changes in the requirements of the WIC Program.
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Federal preparation instructions; federal approval documents; final plan; and interagency agreements, if needed.
	<b>Retention and Disposition</b>	Destroy the working file documents three (3) years after the lifespan of the plan expires and audit. Forward a copy of the plan to the Archives and Records Management Division. Retain one (1) copy in the agency permanently.

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Cabinet for Health and Family Services  
Department for Public Health  
Administrative and Financial Management, Division of

**Record Group  
Number  
1442S**

Series	Records Title and Description	Function and Use
06353	<b>Legal File on Creation of County Health Departments</b>	This series documents the establishment of local county health departments and the creation of local health boards pursuant to KRS 194A.050, KRS 211.025, KRS Chapter 212 and 902 KAR Chapter 8. After the creation of a county health department, county fiscal court officials provide Cabinet for Health and Family Services (CHFS) a certified copy of the order or vote establishing a health department to notify CHFS of the action. This includes stating the amount of the appropriation requested by the county for establishment and maintenance. Once CHFS investigates the necessity for the development of each health department or board, the adequate appropriation is provided to the county and the findings are reported to the Governor. Per KRS 212.120, on or before July 1 in each year, CHFS appropriates a just and equitable share of all funds available from the General Assembly of the Commonwealth for the financial support of the county health department.
	<b>Access Restrictions</b>	KRS 61.878(1)(a). Personal Information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Name of county establishing local health department, date, location of establishment; copies of local fiscal court minutes - re: the creation of the local health department, fiscal court official name(s), date and time of meetings; information, tables, and data necessary to compile a detailed report of the local health department's condition and activities during the preceding fiscal year; certified copy of the order or vote to create a county health department; and allotment sum.
	<b>Retention and Disposition</b>	Retain permanently.
06354	<b>County Board of Health Appointment Letters</b>	This series documents the appointment letters sent to individuals serving on their Local Health Board (LHB) pursuant to KRS 194A.050, KRS 211.025, KRS Chapter 212 and 902 KAR Chapter 8. Appointed members serve a term of two (2) years and may be reappointed.
	<b>Access Restrictions</b>	KRS 61.878(1)(a). Personal Information. Agencies should consult legal counsel regarding open records matters.
	<b>Contents</b>	Series may contain: Appointment letter, name, address, effective appointment date, expiration of term, county, signature of appointing officer, related correspondence.
	<b>Retention and Disposition</b>	Retain until one (1) year after current term completion, then destroy.

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Department for Public Health  
Maternal and Child Health, Division of

Record Group  
Number  
**1442S**

Series	Records Title and Description	Function and Use
06355	Kentucky Medical Assistance Program (Early and Periodic Screening and Diagnosis)	
	<b>Access Restrictions</b>	Agencies should consult legal counsel regarding open records matters.
	<b>Retention and Disposition</b>	Retain permanently in Agency

**STATE ARCHIVES AND RECORDS COMMISSION**  
**Archives and Records Management Division**  
**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS**  
**RETENTION SCHEDULE**

Health and Family Services, Cabinet for  
 Public Health, Department for  
 Epidemiology and Health Planning Division

**Record Group**  
**Number**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
04451	<b>Epidemiology (Federal) Grant Application File - (All branches, in conjunction with the Centers for Disease Control and Prevention) (V)</b>	
	<b>Access Restrictions</b>	None
	<b>Contents</b>	
	<b>Retention and Disposition</b>	Retain in agency. Destroy after five (5) years or audit, whichever is longer.
04461	<b>Tuberculosis (TB) Case Register</b>	
	<b>Access Restrictions</b>	(C) KRS 194.060
	<b>Contents</b>	
	<b>Retention and Disposition</b>	Remove patient information upon completion of treatment and when the Semi-Annual Tuberculosis Program Management Report (04462) is produced
04462	<b>Semi-Annual Tuberculosis Program Management Report</b>	This series documents a statistical analysis and evaluation of program achievements of the tuberculosis (TB) program (statewide). It consists of details from the Tuberculosis Case Register (04461), contacts/followup, drug therapy, sputum conversion, preventive therapy, and Centers for Disease Control and Prevention (CDC) computer printouts containing pertinent data abstracted from submitted cases reported. The report reflects the number and percentage of patients starting and completing the above mentioned activities. It provides a means of comparing and measuring objectives of the program. It also helps determine program (budget) needs for the state and county health departments. This was previously SN 1365.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Statistics for patients involved in the program activities, new and continued, contacts/follow-up, drug therapy - 6 months, 7-12 months, bacteriologic conversion of sputum, completions of preventive therapy; Demographic/population information on counties.
	<b>Retention and Disposition</b>	Retain one (1) copy permanently in Agency. Transfer three copies to the Archives and Records Management Division, Department for Libraries and Archives. Destroy excess copies when no longer useful. Retain one copy in agency

# STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services  
Public Health, Department for  
Laboratory Services Division

Record Group  
Number  
**1442L**

Series	Records Title and Description	Function and Use
<b>04095</b>	<b>Monthly Report of Alcohol Used (Lab 380)</b>	This series documents the use of alcohol in Laboratory Services, as well as the user, date, amount on hand, and balance after use. Alcohol is used in the lab to make up reagents and media. It is also used for cleaning and disinfecting countertops. The report is required of Laboratory Services by the Federal Bureau of Alcoholic Beverages.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series may contain: User; Date; Gallons on hand; Date received by lab; Gallons received by user; Balance
	<b>Retention and Disposition</b>	Retain in Agency and destroy three (3) years after last date of entry and audit.

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## *Electronic System With Included Records Series*

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### **Cabinet for Health and Family Services**

*Department for Public Health*

**Laboratory Services, Division of**

**System Description:** PerkinElmer Specimen Gate is an integrated system for the Division of Laboratory Services. Specimen Gate is a comprehensive screening laboratory information system designed to help improve the laboratories quality and throughput, and to minimize errors and costs by providing clinically validated products, laboratory automation, professional implementation services and support. Specimen Gate implements an electronic, seamless workflow which can be customized for specific laboratory needs.

**System Contents:** Modules include:

Puncher Workstation: program designed to automate the punching of calibrators, controls and patient blood spot samples.

Office: demographic entry application within the Specimen Gate suite of software. Office allows users to enter demographic data of specimens that come into the laboratory.

Laboratory-Result Viewer: designed to allow viewing and effective management of assay results for newborn screening laboratories.

The program allows browsing of assay runs and their histories as well as other related data in various ways. For a particular assay run, the results can be viewed as well as the quality control data.

**Gen. Schedule Items:**

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System Title: **PerkinElmer SpecimenGate**

Alternate Title: **LifeCycle**

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<i>Series #</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>
04036	Specimen Test Result Report	Retain in Agency twenty one (21) years; destroy
04105	Newborn Screening Reports	Retain in Agency two (2) years; transfer to the State Records Center for nineteen (19) years; total retention is twenty one (21) years.
04108	Calibration of Instruments Record (LIMS and NSAS printouts)	Retain in Agency two (2) years; transfer to the State Records Center for nineteen (19) years; total retention is twenty one (21) years.
04109	Newborn Screening Test Report	Retain in Agency two (2) years; transfer to the State Records Center for nineteen (19) years; total retention is twenty one (21) years.
04110	Unsatisfactory Newborn Screening Recalls Completed, Not Received File	Retain in Agency two (2) years; transfer to the State Records Center for nineteen (19) years; total retention is twenty one (21) years.
04111	Newborn Screening Worklist	Retain in Agency two (2) years; transfer to State Records Center for nineteen (19) years; total retention is twenty one (21) years.



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## *Electronic System With Included Records Series*

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### **Cabinet for Health and Family Services**

*Department for Public Health*

**Laboratory Services, Division of**

**System Description:** The Psyche LabWeb Outreach System is designed so that laboratory clients can perform automatic order entry and result retrieval via the web. This system allows credentialed users to submit approved test order requests to the Division of Laboratory Services (DLS) and to retrieve results for tests processed by DLS. Currently, there is no federal or state mandate governing this system.

**System Contents:** This system contains two modules: the Order Entry Module and the Result Retrieval Module. There are three sub-modules in the Order Entry Module: Order Information, Patient Information, and Specimen Information. All order, patient and specimen information is entered by the requestor which is typically a clinician.

The Result Retrieval Module delivers viewable data only, it contains all associated patient test result data, and this data can be sorted by different filter parameters such as, dates, disease or patient name. Note: Environmental tests are entered into this system as well, however, there will not be a patient associated with test order or result information.

The Psyche LabWeb Outreach System sends test result reports to the online web portal for credentialed users to access, view, download and print the test result report. Within 15 minutes of test result availability from the laboratory system, the test result report is also sent to the Kentucky Health Information Exchange (KHIE) system and can be accessed, viewed, downloaded and printed by credentialed KHIE user's.

#### **Gen. Schedule Items:**

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**System Title: Psyche LabWeb Outreach System**

**Alternate Title:**

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<b>Series #</b>	<b>Series Title:</b>	<b>Disposition Instructions:</b>
04039	Specimen Submission File	Retain in Agency twenty one (21) years; destroy.
04092	Agglutinations and Related Test Results	Retain in Agency one (1) year; transfer to the State Records Center for twenty (20) years; total retention is twenty one (21) years.
04096	Center for Disease Control (CDC) Record	Retain in Agency twenty one (21) years; destroy.
04099	Patient Reagent Red Blood Cells Resolve Panel A Antigram Antigen Profil	Retain in Agency twenty one (21) years; destroy.
04103	Chlamydia and Gonorrhea Reports	Retain in Agency two (2) years. Transfer to State Records Center for three (3) years, then destroy. Total retention is five (5) years.
04106	Complement Fixation (CF) Serology Control Record	Retain in Agency two (2) years; destroy.
04108	Calibration of Instruments Record (LIMS and NSAS printouts)	Retain in Agency two (2) years; transfer to the State Records Center for nineteen (19) years; total retention is twenty one (21) years.
04113	Sample Collection Data and Analysis Report	Retain in Agency five (5) years; destroy
04114	Chain of Custody Record (Water Samples)	Retain in Agency five (5) years; destroy.
04117	Positive Tuberculosis Culture Record	Retain in Agency and destroy five (5) years after tests results prove negative.
04118	Water Chemical Analysis Submission File	Retain in Agency five (5) years and destroy.
04148	Daily Patient Audit Control File	Retain in Agency one (1) year; transfer to the State Records Center for twenty (20) years; total retention is twenty one (21) years.
05487	Bacteria Testing Files - Milk and Water	Retain in Agency three (3) years; transfer to State Records Center for eighteen (18) years; total retention is twenty one (21) years.

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# *Electronic System With Included Records Series*

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## **Cabinet for Health and Family Services**

*Department for Public Health*

**Laboratory Services, Division of**

***System Description:*** The Psyche MicroPath Microbiology System is a flexible and powerful system where all aspects of culture processing can be done. Cultures are accessioned with the ease of barcode scanning and all levels of result entry can be pre-defined or customized as you go. User-defined labels can be printed at any time or in batch and batch culture processing can be done for the select culture types.

Behind all the functions that make up Psyche MicroPath is a powerful database library that is completely user-customizable so that the system can easily meet the facilities needs.

***System Contents:*** Psyche MicroPath operations are as follows:

Accession: accessions cultures and specimens, including adding patients and visits into the system; Culture Management: processes cultures and specimens in the system; Batch Result: enters culture results in batch mode for large numbers of similar cultures; Batch Label: prints batch labels for specimens and cultures; Result Tests: batch entry results for specimen tests; Library: tables that make up the system library and how to configure and build the library; Human Resources: physician and user tables; Configuration: system preferences that allow the system manager to configure MicroPath to the laboratory

***Gen. Schedule Items:***

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System Title: **Psyche MicroPath System**

Alternate Title:

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***Series #***      ***Series Title:***

***Disposition Instructions:***

04113      Sample Collection Data and Analysis Report

Retain in Agency five (5) years; destroy

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# *Electronic System With Included Records Series*

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## **Cabinet for Health and Family Services**

*Department for Public Health*

### **Epidemiology and Health Planning, Division of**

**System Description:** The Kentucky Vital Events Tracking System (KVETS) is a web application that provides a mission critical service to the citizens of the Commonwealth of Kentucky through the facilitation of Vital Records, i.e., birth data. This includes amendment and accounting information. The system follows all State and Federal mandates with regard to the entry, storage and maintenance of all Vital Records, i.e., birth data. There are plans to add an Electronic Death Registration to the system in the future.

**System Contents:** KVETS is used by of the Office of Vital Statistics (OVS) in the facilitation of birth and death certificate Amendments and Accounting (ACT) information.

The Birth Index Search module is utilized by various State Agencies who require the use of this information. This was a conversion/migration of Birth Records from a legacy OVS mainframe system to a web-based database, approximately 6 million records were migrated.

KVETS includes Birth Amendment, Special Indicators, InTransfers and Accounting (ACT) information. Data is entered by OVS staff located at Central Office, Frankfort, Kentucky. The Accounting (ACT) module interacts with a third-party software/partner which facilitates and processes credit card purchases/orders for Vital records.

The system provides several reports which are used internally by Central Office Staff. The system generates Certified Copy of Birth records and handles certificate requests for all vital events. System exchanges data with multiple agencies based on the established MOU's.

Amendment/Accounting Information is restricted to internal OVS office staff. Birth Index information is available for the public through the system.

Back-up/Purge Procedures follow all COT and CHFS OIT policy and procedures.

**Gen. Schedule Items:**

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System Title: **Kentucky Vital Events Tracking System** Alternate Title: **KVETS**

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<b>Series #</b>	<b>Series Title:</b>	<b>Disposition Instructions:</b>
03827	Vital Statistics Birth Index	Retain record permanently in Agency.

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