

DEPARTMENT OF HEALTH

Approved Records Retention and Disposition Schedules (Forms SA-1)
Compiled by the DAGS, Archives Division, Records Management Branch*

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*RECORDS SERIES ID is for Records Management Branch use only.

**DEPARTMENT OF HEALTH
RECORDS SERIES REPORT**

**DEPARTMENT: 3201020000
DISABILITY AND COMMUNICATION ACCESS BOARD**

Records Series ID	Description	Schedule Information	Retention	Disposition
320102-00001	ARCHITECTURAL ACCESS COMMITTEE. VARIANCE RECORDS, 1991-present.	SA-1 DATED 6/24/1996, ITEM DA-1	7 years after decision is rendered.	Retain in office for 7 years, then destroy.
320102-00002	ARCHITECTURAL ACCESS COMMITTEE. DESIGN SPECIFICATION RECORDS. DESIGN SPECIFICATIONS, 1991-present.	SA-1 DATED 6/24/1996, ITEM DA-2 A	Until superseded.	Retain in office until superseded, then destroy.
320102-00003	ARCHITECTURAL ACCESS COMMITTEE. DESIGN SPECIFICATION RECORDS. DOCKET FILES, 1991-present.	SA-1 DATED 6/24/1996, ITEM DA-2 B	7 years after decision rendered.	Retain in office for 7 years, then destroy.
320102-00004	ARCHITECTURAL ACCESS COMMITTEE. INTERPRETIVE OPINION RECORD. INTERPRETIVE OPINIONS, 1991-present.	SA-1 DATED 6/24/1996, ITEM DA-3 A	Until superseded.	Retain in office until superseded, then destroy.
320102-00005	ARCHITECTURAL ACCESS COMMITTEE. INTERPRETIVE OPINION RECORDS. DOCKET FILES, 1991-present.	SA-1 DATED 6/24/1996, ITEM DA-3 B	7 years after decision rendered.	Retain in office for 7 years, then destroy.
320102-00006	DISABLED PERSONS PARKING PERMIT APPLICATIONS. LONG-TERM PERMITS	SA-1 DATED 6/17/2016, ITEM 1	6 years from date of issue.	Destroy after cited retention.
320102-00007	DISABLED PERSONS PARKING PERMIT APPLICATIONS. SHORT-TERM PERMITS.	SA-1 DATED 6/17/2016, ITEM 2	6 months from date of issue.	Destroy after cited retention.
320102-00008	SIGN LANGUAGE INTERPRETER TEST RECORDS (HAWAII QUALITY ASSURANCE SYSTEM (HQAS TEST)).	SA-1 DATED 6/17/2016	2 years from date of test score.	Destroy after cited retention.

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**DEPARTMENT OF HEALTH
RECORDS SERIES REPORT**

**DEPARTMENT: 3202050000
ADMINISTRATIVE SERVICES OFFICE**

Records Series ID	Description	Schedule Information	Retention	Disposition
320205-00001	RANDOM MOVEMENT STUDY (RMS) TIME STUDY OBSERVATION FORMS, DAILY CONTROL LOGS AND TALLY SHEETS, 1998-present. Random Moment Study records are used to document observations of DOH Health Resources Administration and Behavioral Health Administration employee work activities for federal Medicaid funds claim purposes. Information from the RMS records is used in completing invoices that are submitted to the State of Hawaii's Department of Human Services, Med-Quest Division, which administers and disburses the federal Medicaid funds. RMS records are subject to Federal audit by the Center for Medicaid and Medicaid Services.	SA-1 DATED 5/26/2006, ITEM 1	4 years from the date of the invoice submitted to the DHS Med-Quest Division.	Destroy after cited retention.

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**DEPARTMENT OF HEALTH
RECORDS SERIES REPORT**

**DEPARTMENT: 3202220000
HEALTH STATUS MONITORING OFFICE**

Records Series ID	Description	Schedule Information	Retention	Disposition
320222-00001	UNDELIVERABLE CERTIFIED COPIES (MAIL RETURNED TO SENDER).	SA-1 DATED 4/3/1984, ITEM VCC-1	6 months.	Destroy after cited retention.
320222-00002	LISTS OF VITAL EVENTS POSTED AND SENT TO NEWSPAPERS FOR PUBLICATION.	SA-1 DATED 4/3/1984 ITEM VCC-2	1 month.	Destroy after cited retention.
320222-00003	REQUESTS FOR PAID CERTIFIED COPIES: CORRESPONDENCE, ORDER BLANKS, BAD CHECKS, MADE GOOD FILE, INCLUDING JOURNAL VOUCHERS TO ADJUST ACCOUNTS FOR BAD CHECKS.	SA-1 DATED 4/3/1984, ITEM VTY-1	1 year.	Destroy after cited retention.
320222-00004	HEALTH SURVEILLANCE QUESTIONNAIRES.	SA-1 DATED 3/23/1987 ITEM RSO-VH-1	2 years.	Destroy after cited retention.
320222-00005	HAWAII BURIAL/TRANSIT PERMITS AND STUBS.	SA-1 DATED 3/22/1988 ITEM RSO-VCR-7	1 year.	Destroy after cited retention.
320222-00006	MARRIAGE LICENSE APPLICATIONS AND AFFIDAVITS (ORIGINALS).	SA-1 DATED 3/22/1988 ITEM RSO-VM-1(b)	Permanent	Microfilm when 2 years old and destroy originals after microfilming.
320222-00007	INTENTIONAL TERMINATION OF PRENANCY REPORT.	SA-1 DATED 9/4/1987, ITEM RSO-VR-4	Permanent.	Microfilming authorized. Original (hard copies) will be destroyed 2 years after microfilming.
320222-00008	INDEX TO CERTIFICATES OF FOREIGN BIRTH, 3/1981 to present.	SA-1 DATED 3/13/1991 ITEM VDR-10	Permanent	

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**DEPARTMENT OF HEALTH
RECORDS SERIES REPORT**

**DEPARTMENT: 3202220000
HEALTH STATUS MONITORING OFFICE**

Records Series ID	Description	Schedule Information	Retention	Disposition
320222-00008	ORIGINAL CERTIFICATES OF FOREIGN BIRTH, FORM RS81-1, 6/1987 to present: Name of registration, date and place of birth, parents' names and personal particulars. Restrictions: Restricted under 338-18, HRS. Identified as Vital Records.	SA-1 DATED 3/13/1991 ITEM VDR-11	Permanent	May microfilm when 2 years old. Agency prefers to retain original certificates.
320222-00009	SEALED ADOPTION FILE: CERTIFICATE OF ADOPTION, DECREE OF ADOPTION. Restrictions: Restricted under Section 338-20.5, HRS. Identified as Vital Records.	SA-1 DATED 3/13/1991 ITEM VDR-12	Permanent	
320222-00010	RECORDS OF MARRIAGE OFFICIANTS, 1943-present.	SA-1 DATED 10/8/2003, ITEM 1	Permanent	Records may be captured and stored on another lasting media (e.g. microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming.
320222-00011	HOME BIRTH REGISTRATION FILES, 1977-present.	SA-1 DATED 10/8/2003, ITEM 2	Permanent	Records may be captured and stored on another lasting media (e.g. microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming.

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**DEPARTMENT OF HEALTH
RECORDS SERIES REPORT**

**DEPARTMENT: 3202220000
HEALTH STATUS MONITORING OFFICE**

Records Series ID	Description	Schedule Information	Retention	Disposition
320222-00012	CAUSE OF DEATH QUERIES, 1955-present.	SA-1 DATED 10/8/2003, ITEM 3	Permanent	Records may be captured and stored on another lasting media (e.g. microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming.

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STATE OF HAWAII
RECORDS DISPOSITION AUTHORIZATIONState Archives
Iolani Palace Grounds, Honolulu, Hawaii 96813

Attention: State Archivist

1. In compliance with Section 94-3 Hawaii Revised Statutes, as amended, I hereby request ☒ Continuous authorization to destroy
or otherwise dispose of the numbered record items listed below. ☐ Authorization

ITEM NO.	FORM NO.	DESCRIPTION	YEARS OR PERIOD		RETENTION
			FROM	THROUGH	
		Program items as per attached Records Retention Schedule for: Research and Statistics Office			

2. Record items Nos. N/A

will be preserved on microfilm in accordance with Section 92-31 Hawaii Revised Statutes.

It is requested that Record items Nos. N/A

be transferred to the State Archives.

3.

Myrna K. Sen
SIGNATURE OF RECORDS OFFICERDepartment of Health
AGENCYAbelina M. Shaw
FOI SIGNATURE OF HEAD OF DEPARTMENT
DATE: 4/5/80

4. I hereby certify that the records as listed, unless exceptions are listed below, do not appear to be of sufficient value for legal, administrative, or research purposes to warrant further preservation. Exceptions: items scheduled as "retain" or "permanent"

Record items Nos. N/Ato be transferred to ☐ State Archives☐ _____
AGENCYAgnes Conrad
STATE ARCHIVIST
DATE: 5/8/80

5. Destruction or other disposal, with exceptions indicated, approved.

☒ Continuous authorization
☐ Authorization

MAY 14 1980

~~MAY 4 1980~~

Date: _____

Ann Amelin
COMPTROLLER

DEPARTMENT OF HEALTH
Research and Statistics Office

Item No.	Description	Retention
RSO-	<u>Vital Records Maintained by Certified Copies Unit</u>	
VR-1	Indexes	Permanent. May microfilm security copy. May microfilm search copy.
VR-2	Vital Records and Certificates	Permanent. May microfilm security copy. May microfilm search copy.
VR-3	Local Registrar copies of Vital Records	Retain.
	<u>Current Registration Unit</u>	
VCR-1	Indexes to Licensed Cemeteries and Crematories, Licensed Marriage Officiants, Temporary Licensed Physicians	Destroy card after cemetery or crematory terminates or goes out of business; after Marriage Officiant terminates license or dies; after Physician's name appears on Roster of Licensed Physicians
VCR-2	Outside Island Registrar's Transmittal Statements, accompanying certificates	Destroy 1 year old.
VCR-3a	Vital Statistics Checklist	3a) Destroy 1 year old.
-3b	Vital Statistics Ledger	3b) Permanent.
VCR-4	Microfilm shipped to National Center for Health Statistics; Checklist/transmittals	Destroy 10 years old.
	<u>Burial/Transit Permits Records</u>	
VCR-5	Korean War Dead and Out-of-State Deaths: index to permits	Permanent.
VCR-6	Out-of-State forms: Burial/Transit Permits	Destroy 3 years old.
VCR-7	Hawaii Burial/Transit permits and stubs	Destroy 3 years old.

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Item No.	Description	Retention
RSO-	<u>Delayed Registration Unit</u>	
VDR-1	Index to Delayed Certificates of Birth	Permanent. May microfilm for security copy.
VDR-2	Delayed Certificates of Birth Documentary Evidence	<p>Permanent. Make photocopies or microfilm copies.</p> <p>(1) After copies reproduced, return documents to sender.</p> <p>(2) If not possible to return documents to sender, retain documents that are <u>originals</u> permanently.</p> <p>(3) If not possible to return documents to sender, and all evidence is reproduced on microfilm, may destroy documents that are <u>certified copies</u> or <u>abstracts</u> after 7 years old.</p> <p>(4) If not possible to return documents to sender, and evidence file is hard copy, retain <u>originals</u>, <u>certified copies</u>, and <u>abstracts</u> in lieu of photocopies on file.</p>
VDR-3	Delayed Marriage Certificates Documentary Evidence	<p>Permanent. Make photocopies or microfilm copies.</p> <p>(1) After copies reproduced, return documents to sender.</p> <p>(2) If not possible to return documents to sender, retain documents that are <u>originals</u> permanently.</p> <p>(3) If not possible to return documents to sender, and all evidence is reproduced on microfilm, may destroy documents that are <u>certified copies</u> or <u>abstracts</u> after 7 years old.</p> <p>(4) If not possible to return documents to sender, and evidence file is hard copy, retain <u>originals</u>, <u>certified copies</u> and <u>abstracts</u> in lieu of photocopies on file.</p>
VDR-4	Judicial Finding and Declaration by a court of record that a person is dead: certified copies of court orders, petitions for filing of death certificate.	Permanent. May microfilm security copy. May microfilm search copy.
VDR-5	Certificates that No Record of Alleged Vital Event has been found (duplicate copy)	Permanent.

Item No.	Description	Retention
RSO-	<u>Certificates of Hawaiian Birth</u>	
VDR-6	Certificates of Hawaiian Birth Index	Permanent. May microfilm security copy. May microfilm search copy. May transfer a microfilm search copy to State Archives after events therein are over 75 years old.
VDR-7	Certificates of Hawaiian Birth	Permanent. May microfilm security copy. May microfilm search copy. May transfer a microfilm search copy to State Archives after events therein are over 75 years old.
VDR-8	Certificate of Hawaiian Birth Documentary Evidence	Retain. May microfilm security copy. If a specific document in this file is used as documentary evidence for issuance of a Delayed Birth Certificate transfer to Documentary Evidence file for Delayed Birth Registration. (See VDR-4) May not request disposition for documents remaining in this file until the legislature repeals the legal provisions for renewal of the Certificate of Hawaiian Birth.
VDR-9	Official Statements of Probable Hawaiian Birth file: statements, applications, evidence	Retain. May microfilm security copy. If a specific document in this file is used as documentary evidence for issuance of a Delayed Birth Certificate transfer to Documentary Evidence file for Delayed Birth Registration. (See VDR-4) May not request disposition for documents remaining in this file until the legislature repeals the legal provisions for renewal of the Certificate of Hawaiian Birth.
	<u>Corrections Unit</u>	
VC-1	Sealed Documents	Permanent.
VC-2	Court Orders for Release of Sealed Documents	Permanent.
VC-3	Amendments to Vital Records Documentary Evidence	1. Permanent. Make photocopies or microfilm copies. 2. After copies reproduced: (a) return documents to sender within 3 years of amendment of certificate.

Item No.	Description	Retention
RSO-		documents (b) if not possible to return/to sender,: (1) retain documents that are <u>originals</u> permanently; (2) if evidence file is on microfilm, may destroy <u>certified copies</u> or <u>abstracts</u> after 7 year old; (3) if evidence file is hard copy, retain <u>originals</u> , <u>certified copies</u> and <u>abstracts</u> unreturnable to sender in lieu of photocopies on file.
VC-4	Change of Name Amendments to Vital Records Documentary Evidence	<ol style="list-style-type: none"> 1. Permanent. Make photocopies or microfilm copies. 2. After copies reproduced: <ol style="list-style-type: none"> (a) return documents to sender within 3 years of amendment of certificate. (b) if not possible to return documents to sender,: (1) retain documents that are <u>originals</u> permanently; (2) if evidence file is on microfilm, may destroy <u>certified copies</u> or <u>abstracts</u> after 7 years old; (3) if evidence file is hard copy, retain <u>originals</u>, <u>certified copies</u> and <u>abstracts</u> unreturnable to sender in lieu of photocopies on file.
VC-5	<p>Late Birth Registration Documentary Evidence</p> <p>Affidavits (under obsolete regulation PHR-14)</p> <p>Notarized Statements in cases where birth certificate has no attendant's signature; and other documentary evidence</p>	<ol style="list-style-type: none"> 1. Permanent. Make photocopies or microfilm copies. 2. After copies reproduced: <ol style="list-style-type: none"> (a) return documents to sender within 3 years of the amendment of certificate. (b) if not possible to return documents to sender,: (1) retain documents that are <u>originals</u> permanently; (2) if evidence file is on microfilm, may destroy <u>certified copies</u> or <u>abstracts</u> after 7 years old; (3) if evidence file is hard copy, retain <u>originals</u>, <u>certified copies</u> and <u>abstracts</u> unreturnable to sender in lieu of photocopies on file.

Item No.	Description	Retention
RSO-		
VC-6	Late Divorce Registration Affidavits	<ol style="list-style-type: none"> 1. Permanent. Make photocopies or microfilm copies. 2. After copies reproduced: <ol style="list-style-type: none"> (a) return documents to sender within 3 years of amendment of certificate. (b) if not possible to return documents to sender,: (1) retain documents that are <u>originals</u> permanently; (2) if evidence file is on microfilm, may destroy <u>certified copies</u> or <u>abstracts</u> after 7 years old; (3) if evidence file is hard copy, retain <u>originals</u>, <u>certified copies</u> and <u>abstracts</u> unreturnable to sender in lieu of photocopies on file.
VC-7	Late Marriage Registration Affidavits; Late Death Registration Affidavits	<ol style="list-style-type: none"> 1. Permanent. Make photocopies or microfilm copies. 2. After copies reproduced: <ol style="list-style-type: none"> (a) return documents to sender within 3 years of amendment of certificate. (b) if not possible to return documents to sender,: (1) retain documents that are <u>originals</u> permanently; (2) if evidence file is on microfilm, may destroy <u>certified copies</u> or <u>abstracts</u> after 7 years old; (3) if evidence file is hard copy, retain <u>originals</u>, <u>certified copies</u> and <u>abstracts</u> unreturnable to sender in lieu of photocopies on file.
	<u>Certified Copies Unit</u>	
VCC-1	Undeliverable Certified Copies (mail returned to sender)	Destroy 7 years old.
VCC-2	Lists of Vital Events posted and sent to newspapers for publication	Destroy 1 year old.
VCC-3	Disinterment Permits Records: applications and permits	Destroy 6 years old.

superseded
by S.A.-1
dtd 4/3/84

Item No.	Description	Retention
RSO-	<u>Marriage License Unit</u>	
VM-1	Marriage License Agent's Records	
	(a) Notice of appointment, work reports, correspondence, receipts for books issued, accounting records	(a) May destroy 3 years after agent's termination and subsequent audit.
	(b) Marriage License Applications and Affidavits (originals)	(b) Retain. May microfilm.
	(c) Comptroller's Summary Reports	(c) Destroy 6 years old.
	<u>Typing Unit</u>	
VTY-1	Requests for paid certified copies: correspondence, order blanks, bad checks made good file, including journal vouchers to adjust accounts for bad checks	Destroy 6 years old.
VTY-2	Requests for free certified copies	Destroy 1 year old.
VTY-3	Cause of Death Documentary Evidence for insertion of cause of death on Death Certificate	Permanent. May microfilm security copy
	<u>Research and Statistics Unit</u>	
VS-1	Reports, statistical surveys	Permanent.
VS-2	Raw Data	Destroy 20 years old.
VS-3	Transcripts of Out-of-State Vital Events	Destroy 2 years old.
	<u>Health Surveillance Program</u>	
VH-1	Health Surveillance Questionnaires	Destroy 5 years old.
	<u>Tumor Register</u>	
VT-1	Logs of all data input to computer: individual case data	Permanent.
VT-2	Manual index to individual cases	Purge upon death.
VT-3	Data input forms, data duplicated on Log and magnetic media	Destroy when no longer of use, retaining no more than 2 years.
VT-4	Statistical Abstracts of area-wide data (not individual case abstracts)	Retain 1 record copy, destroy rest.

STATE OF HAWAII
RECORDS DISPOSITION AUTHORIZATION

Attention: State Archivist

State Archives
Iolani Palace Grounds, Honolulu, Hawaii 96813

1. In compliance with Section 94-3 Hawaii Revised Statutes, as amended, I hereby request ☒ Continuous authorization to destroy
or otherwise dispose of the numbered record items listed below. ☐ Authorization

NO.	FORM NO.	DESCRIPTION	YEARS OR PERIOD		RETENTION
			FROM	THROUGH	
		<p>Program items as per attached Records Retention Schedule for:</p> <p>Department of Health <u>Mental Health Division</u></p> <p><i>re-org. under Adult Mental Health Division</i></p>			

2. Record items Nos. N/A

_____ will be preserved on microfilm in accordance with Section 92-31 Hawaii Revised Statutes.
It is requested that Record items Nos. as indicated on attached schedule

_____ be transferred to the State Archives.

3.

Myrna K. Sen
SIGNATURE OF RECORDS OFFICER

Department of Health
AGENCY

MAR 24 1981

DATE

for

Agnes M. Conrad
SIGNATURE OF HEAD OF DEPARTMENT

4. I hereby certify that the records as listed, unless exceptions are listed below, do not appear to be of sufficient value for legal, administrative, or research purposes to warrant further preservation. Exceptions: items scheduled as "retain" or "permanent"

Record items Nos. as indicated on attached schedule

_____ to be transferred to

☒ State Archives

☐

AGENCY

Agnes M. Conrad
STATE ARCHIVIST
Apr 28, 1981
DATE

5. Destruction or other disposal, with exceptions indicated, approved.

Handwritten signature
COMPTROLLER

☒ Continuous authorization

☐ Authorization

Date: MAY 1 1981

DEPARTMENT OF HEALTH
Mental Health Division

Item No.	Description	Retention
MH	<u>Central Administrative Services</u>	
CS-1	H.E.W. Grants Contracts. Contracts for State Grants in Aid for Mental Health Community Services (reference copies)	Destroy 2 years after termination of contract.
CS-2	Semi-monthly Organizational Time sheet (reference copies)	Destroy 5 years old.
CS-3	Semi-monthly Premium Pay Report (worksheet)	Destroy when 3 years old.
CS-4	Election of compensatory time-off and/or compensation in cash	Destroy when 3 years old.
	<u>Data Systems Unit</u>	
PSS-D-1	Microfilm Logs of all raw data sheets of clients and persons coming into contact with public mental health agencies	Permanent.
PSS-D-2	Master File of punchcards of all clients, persons coming into contact with public mental health agencies (alphabetical) Cross-reference Numerical File by number assigned to client for tracking purposes (visible file strips)	Purge upon death of client.
PSS-D-3	Bimonthly printout of clients served	Destroy when superseded.
	<u>Alcohol and Drug Abuse Branch</u>	
ADA-1	Purchase of Service Contracts, federally funded substance abuse programs (duplicate copies of contracts retained by branch as reference copies)	Destroy after 3 years old.
ADA-2	Copies of fiscal materials (P.O.s, requisitions, vouchers). Budget worksheets	Dest:
ADA-3	Program projects files	Dest:
ADA-4	Client Oriented Data Acquisition Process (CODAP) Raw Data Sheets	Destroy 5 years old.

*12-11-11
Alcohol and
Drug Abuse Division*

Item No.	Description	Retention
ADA-5	Project CARE Client Case Records <u>Children's Mental Health Services Branch Administration</u>	Destroy 6 ye
CA-1	Records of Client Evaluations (Psychiatrist, Psychologist, Occupational Therapist) (office copy: the originals are in case record of referring agency) <u>Day Treatment Center</u>	Destroy 3 ye
CDTC-1	Client's Case Records For the purposes of this retention, records are considered inactive when case terminated before individual is 18 years old, and not reactivated. <u>Courts and Corrections Branch</u>	Retain until child reaches age 25. Retain record of client name, diagnosis and dates of treatment for pre-1971 cases.
CC-1	Master Index of all persons seen and evaluated Sanity Commission Cases sub-index	Permanent.
EC-2	Case Files of Persons Evaluated: referral letter or copy of court order; copy of evaluation, original of which is sent to agency; log of visits	All case files file one year to referring agency transfer these after person lity. Destroy after 10 years in inactive file.

*cc - name
Children and
Adolescent Mental
Health Division*

*cc - copy
moved to
Adult Mental Health
Division*

Item No.	Description	Retention
HSH	<u>Hawaii State Hospital</u> <u>Administration</u>	
A-1	Committee Reports, Minutes of Meetings (a) Executive and Medical Staff Committee (b) Utilization Review, Infection, Pharmacy and Therapeutics, Medical Records Committees	(a) Permanent. (b) May destroy after 10 years old.
A-2	Branch reference copies of contracts or agreements with outside providers of services required at this facility, including agreements with outside providers for transfer of residents	May destroy non-original copies 1 year after contract or agreement expires.
A-3	Policy and Procedure Manual (a) Administration (b) Units	(a) Retain original master set permanently; file superseded portions separately. (b) Destroy portions that have been superseded.
A-4	Medicare Deficiency Reports	May destroy after 3 years old.
A-5	Utilization Review Plans, Studies	Permanent.
A-6	Records documenting compliance with building and fire codes, sanitation inspections. Evaluation/Fire Control plans	Destroy 1 year after superseded.
A-7	Emergency Power Facility: reports on inspections, performance exercising period and repairs	May destroy after 5 years old.
A-8	Statistical Reports (a) SHPDA Monthly Utilization Report and Quarterly Discharge Data (b) Hawaii State Hospital: Statistical Movement of Patients. Census	(a) Retain forms having length of stay data not duplicated on HSH Statistical Movement of Patients form. If length of stay data duplicated, destroy at end of fiscal year. (b) Permanent.
A-9	Incident reports, residents	May destroy after 15 years old.

Item No.	Description	Retention
A-10	Medicare/Medicaid Certification material: certification, licensing, suspensions, revocations	Permanent.
A-11	Security Guard Logs	Retain as long as recommended by security guard agency, but in any case no longer than 6 years after last entry

Medical Records

Superseded 1/15/85

- M-1 Resident Medical Record
- Admission records
 - Commitment papers
 - Provisional diagnosis
 - Complaint of others re patient and patient response
 - Psychiatric evaluation
 - Physical exam and neurological exam reports
 - Treatment Plan
 - Progress Notes
 - Consults
 - Correspondence
 - Social Work Notes
 - Consents
 - Medication Records
 - Flow Sheets
 - Doctor's Orders
 - Transfer or Discharge Summaries

Retention period:

Except for case records designated by the Administrator of Hawaii State Hospital as being of value for training, research or other special interest:

Destroy 15 years after discharge or last entry, or 6 years after death, if known.

May microfilm discharge summaries.

Exceptions:

Selected cases of special administrative interest:

The Administrator of Hawaii State Hospital may make arrangements that selected cases of special interest be preserved longer than the time limits specified above, until they are no longer of special administrative interest, up until 30 years after last entry.

Selected cases for training or research:

The Administrator of Hawaii State Hospital may make arrangements that selected cases of training and research value be preserved longer than the time limits specified above. Upon reaching the time limits specified above, selected case records of training and research value may, upon approval of the Hawaii State Hospital Administrator, be retained for a period of 30 years after last entry. After that time,

Item No.	Description	Retention
	upon approval of the State Archivist, selected case records may be sent to the State Archives for permanent preservation as records pertaining to the history of mental illness therapeutics in this state.	
	Case records shall not be preserved for teaching or research purposes, or used for teaching or research purposes, unless consent from the patient or client for such specific purposes has been received and documented, or unless all identifying matter upon the record has been removed or obliterated so as to be illegible. "Identifying matter" includes names of all persons, except medical personnel and therapists, and also the address of the patient or client, his family and persons connected with him, telephone numbers, social security numbers, case file numbers, register numbers, and any and all matter that would enable the identification of the patient or client, his family, and persons connected with him, except for facility personnel mentioned in the record because of their connection with him in the course of treatment and services rendered to him.	
	The responsibility for proper obtaining of consent, or for guaranteeing the obliteration of all identifying matter, shall rest with the administrator of the facility, the Administrator (Branch Chief), in the case of Hawaii State Hospital. The Administrator shall refuse to preserve case records for training and research purposes that do not contain documentation of proper consent or obliteration of all identifying matter; and he may refuse to preserve records for teaching or research if their maintenance impedes his records staff in the performance of their regular duties, and it is evident that the records preserved for training or research cannot be properly maintained.	
Note #1:	Do not file records audit reports, receipts for monies deposited in patient trust fund accounts, Data Systems Unit original input forms and printouts in medical record.	
Note #2:	Case files are not to go out of facility while active unless under subpoena and accompanied by custodian of the record. Xerox copies of specified records shall be sent to agencies requesting them upon consent of resident, parent or guardian.	
M-2	Indexes to medical record: by name, unit record number, physician, disease	Permanent.
M-3	Printouts of information on register, original of register form returned to agency submitting by Data Systems Unit	Do not file in medical record. Do not retain.
	<u>Radiology</u>	
X-1	Radiology films	Destroy after 5 years old. Showing TB pathology: 10 years.
	<u>Pharmacy</u>	
P-1	Formulary; procedures	Destroy superseded portions.

Item No.	Description	Retention
P-2	Inventories of stocks of drugs, including narcotics. Purchasing records	Destroy 2 years old.
P-3	Prescriptions/Physicians Orders. Narcotics cards	Destroy 5 years old.
P-4	Individual Patient Medication Profiles	Acute: May destroy 1 year after discharge. Chronic: May destroy 5 years old.
<u>Laboratory</u>		
L-1	Procedure manual and list of routine tests performed upon admission	Destroy superseded portions.
L-2	Lab copy of physician's orders for tests. Log of physician's orders received, specimens accessioned (As described in PHR 30, sec. 7B.) Lab report: duplicate copy of report of analysis of specimen.	
L-3	Electrocardiogram Tracings (duplicates)	Destroy 5 years old.
L-4	Electroencephalogram Tracings (originals)	Destroy 5 years old.
L-5	Proficiency Testing Reports, Clinical Laboratory Personnel. Quality Control Instrument Testing Records	Destroy 3 years old.
L-6	Instrument Maintenance Log	Retain for life of instrument.
<u>Neuropsychology Services</u>		
N-1	Former Staff and Interns Folders	Destroy 10 years after termination.
N-2	Neuropsychology Testing Case File: test booklets, copies of reports sent to agency requesting or in State Hos- pital Medical Record	Retire to inactive after 5 years old. Destroy 10 years old.
N-3	Training Folders: copies of training plans and progress reports of thera- pists, originals of which are in case chart of requesting agency or Hawaii State Hospital	Retire to inactive 5 years after last entry. Destroy 10 years after last entry.
<u>Nursing Office</u>		
Nu-1	Minutes of Registered Professional Nursing Staff Meetings	May destroy after 5 years old.

Item No.	Description	Retention
Nu-2	Records of Inservice Training and Staff Development Program	
	(a) Inservice training folders	(a) May destroy after 5 years old.
	(b) Individual record cards showing courses taken	(b) Destroy 3 years after employee termination.
Nu-3	Monthly Staffing Schedules	Destroy 3 years old.
Nu-4	Daily Work Assignment Schedules	Destroy at end of the month.
Nu-5	Autoclave Test Report	Destroy after 3 years old.
Nu-6	Requests for exchanges of days or leaves of absence	Destroy at close of year.
	<u>Social Services</u>	
S-1	Social Services Unit Staff Meeting Minutes	Destroy after 5 years old.
S-2	Peer Review Statistics: scale of ratings of quality of social work notes in Medical Record	Destroy 1 year old.
S-3	Peer Review of Social Work Notes in Medical Record	Destroy 1 year old.
S-4	Court Commitment Coordination and Statistical Records	
	(a) New Commitment Case Logs	(a) Destroy after 10 years old and statistics abstracted.
	(b) Monthly Statistics	(b) Destroy after 10 years old.
S-5	Cross-Reference Card File	May destroy 10 years after discharge.
S-6	Log of Incoming Court Orders	May destroy 1 year after last entry.
	<u>Food Services</u>	
D-1	Manual of regimens for therapeutic diets	Destroy superseded portions.
D-2	Food handling establishment certification and inspection reports	Destroy 1 year after superseded.
D-3	Modified and therapeutic diet plans as prescribed by physician	Destroy 1 year after revision or cancellation.
D-4	Food Service Menu Plans	May destroy after 3 months old.

Item No.	Description	Retention
D-5	Journals of expenditure	Retain 5 years.
D-6	Stock records Reference copies of requisitions and P.O.s	Retain 2 years.
	<u>Business Office</u>	
B-1	Medicare Billing Materials: Inpatient Hospital and Skilled Nursing Facility Admission & Billing Eligibility Report Worksheet Remittance Advice and Receipt for Medicare Claims paid	May destroy after no less than 5 years old, except that if no state audit has been performed, 20 days advance written notice of intent to destroy shall be sent to State Comptroller.
B-2	Annual Provider Cost Reports to Medi- care Fiscal Intermediary (HMSA) (provider copy)	May destroy when no longer of adminis- trative use.
B-3	Support documents for Annual Provider Cost Reports: computations, adjustments to costs, depreciation schedules	May destroy after 5 years old.
	<u>Records of Receipt, including deposit to Patient Trust Fund</u>	
B-4	Accounts Receivable Records (Bills for collection, after collection, and Individual Patient Ledgers)	May destroy after no less than 6 years old, or in the case of ledgers, 6 years after last entry, except that if no state audit has been performed, 20 days advance written notice of intent to destroy shall be sent to State Comp- troller.
B-5a	Official Receipts - General Fund	(5a) Destroy after 6 years old.
B-5b	Official Receipts - Patient Trust Fund	(5b) Destroy after no less than 6 years old, and 1 year after audit reso- lution.
B-6a	Treasury Deposit Receipts - General Fund	(6a) Destroy after 6 years old.
B-6b	Treasury Deposit Receipts - Patient Trust Fund	(6b) Destroy after no less than 6 years old, and 1 year after audit reso- lution.
B-7	Schedule of Collections and Deposits	Destroy 6 years old.
B-8	Cash Receipt Journals: (a) Departmental Receipts and Deposits (Treasury Receipts) (b) Departmental Appropriation Ledger (Patient's Cash, Canteen Cards, Donations)	Destroy no less than 6 years old, and 1 year after audit resolution.

Item No.	Description	Retention
<u>Records of Withdrawal from Patient Trust Fund Accounts</u>		
B-9	Canteen Card	Destroy after no less than 6 years old, and 1 year after audit resolution.
B-10	Cash Advance Receipt	Destroy after no less than 6 years old, and 1 year after audit resolution.
B-11	Summary Warrant Voucher and Attachments (invoice list, expenditure voucher)	Destroy after no less than 6 years old, and 1 year after audit resolution.
B-12	Individual Monthly Statements	Destroy no less than 6 years old, and 1 year after audit resolution.
<u>Miscellaneous</u>		
B-13	Meal Tickets	Destroy 1 year old.
B-14	Petty Cash Voucher (reference copy)	Destroy 1 year old.
B-15	Valuables Envelope	Destroy 6 years after items returned and signed for.
<u>Personnel Records</u>		
B-16	Duplicate personnel jackets	Destroy 3 years after termination of employee.
B-17	Application for leave of absence (G-1)	Destroy 5 years after totals posted to leave record card.
B-18	Application for transfer of vacation and sick leave credit or payment in lieu of vacation (G-2). Leave record card	May destroy 6 years old.

Item No.	Description	Retention
	<u>Community Mental Health Center Branches</u>	
MHC-1	Client Case Records	
	(a) Adult Case Records, Chronic Cases	
	(b) Adult Case Records, Non-Chronic Cases	
	(c) Children's Case Records	
	(d) Selected Cases for Training or Research	
	(a) Adult Case Records, Chronic Cases	(a) &
	Definitions:	
	"Chronic Cases": individual has had 2 or more hospitalizations and 2 or more years of outpatient treatment.	
	"Adult Case Record": case terminated after individual is 18 years old, and not reactivated for 6 years.	
	(b) Adult Case Records, Non-Chronic Cases	
	Definitions:	
	"Non-Chronic Cases": individual has never been hospitalized, or has been hospitalized no more than once, and has had less than 2 years of outpatient treatment.	
	"Adult Case Record": case terminated after individual is 18 years old, and not reactivated for 6 years.	
	(c) Children's Case Records	(c) Retain until child is 25 years of age.
	Definition: "Children's Case Record": case terminated before individual is 18 years old.	
	(d) Selected Cases for Training or Research	
	The administrator of the Community Mental Health Center Branch may make arrangements that selected cases of teaching and research value be preserved longer than the time limits specified. Upon reaching the time limits specified above (retentions a, b, c, above), selected case records may, upon the approval of the Community Mental Health Center Branch Administrator, be retained for a period of 30 years after last entry. After that time, upon approval of the State Archivist, selected case records may be sent to the State Archives for permanent preservation as records pertaining to the history of mental illness therapeutics in this state.	
	Case records shall not be preserved for teaching or research purposes, or used for teaching or research purposes, unless consent from the patient or client for such specific purposes has been received and documented, or unless all identifying matter upon the record has been removed or obliterated so as to be illegible. "Identifying matter" shall include names of all persons, except medical personnel and therapists, and also the address of the patient or client, his family, and persons connected with him, except for facility personnel mentioned in the record because of their connection with him in the course of treatment and services rendered to him.	

Item MHC-1
 superseded by
 GRS item 10.1
 for medical
 records.
 R. L.

6 years
 discharge.
 defined in
 retained
 entry/

Item No.	Description	Retention
<p>The responsibility for proper obtaining of consent, or for guaranteeing the obliteration of all identifying matter, shall rest with the administrator of the facility, the Branch Chief, in the case of Community Mental Health Center Branches. The Branch Chief shall refuse to preserve case records for training or research purposes that do not contain documentation of proper consent, or obliteration of all identifying matter; and he may refuse to preserve records for training or research if their maintenance impedes his records staff in the performance of their regular duties, and it is evident that the records preserved for training and research cannot be properly maintained.</p>		
Note #1:	Do not file records audit reports or register printouts in case records. Records are not to go out of facility unless under subpoena and accompanied by custodian, or upon transfer of case to another Community Mental Health Center Branch facility. Xerox copies of specified records shall be sent to outside agencies requesting them upon consent of client, parent or guardian.	
Note #2:	Retain record of client name, diagnosis and treatment dates for pre-1971 cases.	
MHC-2	Record of pre-1971 clients: client name, diagnosis, treatment dates. Client Index	Permanent.
MHC-3	Billing Cards	If there is no other data on client name, diagnosis, treatment date, retain pre-1971 billing cards for this purpose permanently. All others: destroy 6 years after last entry.
MHC-4	Medicaid Billings (Physician's Report of Services Rendered) copy of claim as sent to medicaid agency	Destroy 1 year after claim paid.
<u>The following records are not found at all facilities:</u>		
MHC-5	Donation, Trust Fund for Patient Welfare Ledgers Receipts for donations Purchase Orders for Withdrawal	Destroy 6 years after last entry, or 6 years old.
<u>Pharmacy Records</u>		
P-1	Formulary, Procedures	Destroy superseded portions.
P-2	Inventories of stocks of drugs, including narcotics. Purchasing records	Retain 2 years.
P-3	Prescriptions	Retain no more than 5 years.

Item No.	Description	Retention
<u>U.S. Department of Health, Education and Welfare Grantee's Records</u>		
MHC-6	Contracts with Subgrantee Providers of Community Mental Health Services (Federally Funded)	
	(a) Originals at ASO	(a) Destroy 10 years after completion of contract services, and after Federal and State audit requirement fulfilled.
	(b) Duplicate copies at Community Mental Health Center Branches	(b) Destroy after 5 years old.
MHC-7	Fiscal Records pertaining to H.E.W. grants	
	(a) Record copy at ASO	(a) Destroy when Federal and State audit requirements fulfilled.
	(b) Fiscal Records	(b) May destroy when 3 years old.
<u>Kalihi-Palama Mental Health Center Branch only</u>		
MHC-8	Federally funded Alcoholism Treatment Program Monitoring Records Raw Data sheets for data submitted to National Institute of Alcohol Abuse and Alcoholism. Cards cross-indexing patient name to NIAAA data access number	Destroy 3 years after submission of expenditure report, unless requested to retain longer by Federal authorities
MHC-9	Duplicate copies of MSIS Register data. Register forms	Destroy 2 years old.
MHC-10	Kalihi-Palama Internal Monitoring Data System	
	(a) Raw Data Sheets	(a) Destroy 1 year after conversion to machine readable media.
	(b) Punch Cards	(b) Destroy 1 year after conversion to mag tape.
MHC-11	Printout Statistical Reports	
	(a) Special reports, studies Internal monitoring system, monthly reports Annual Statistical Abstract Annual HEW Grant Evaluation	(a) Destroy when no longer needed for administrative purposes, retaining no more than 5 years unless ongoing studies require the data.

Item No.	Description	Retention
	(b) Duplicate copies of Register Client lists	(b) Destroy after verified.
	(c) Duplicate copies of NIAAA reports	(c) Destroy 1 year old.
	<u>Day Hospital Program</u>	
MHC-12	Day Hospital Program Case Record, including notes of observation and care. (duplicate chart. materials are filed in case record of DOH Clinic facilities or outside agencies.)	Destroy when no longer needed for program purposes, retaining no longer than necessary for follow-up after termination of client from program.

STATE OF HAWAII
RECORDS DISPOSITION AUTHORIZATION

State Archives
Iolani Palace Grounds, Honolulu, Hawaii 96813

Attention: State Archivist

compliance with Section 94-3 Hawaii Revised Statutes, as amended, I hereby request ☒ Continuous authorization to destroy
otherwise dispose of the numbered record items listed below. ☐ Authorization

ITEM NO.	FORM NO.	DESCRIPTION	YEARS OR PERIOD		RETENTION
			FROM	THROUGH	
M-1		<p>The following item on SA-1, Records Disposition Authorization, dated January 17, 1985, is hereby revised:</p> <p>DEPARTMENT OF HEALTH Adult Mental Health Division Hawaii State Hospital</p> <p>Resident Medical Records</p> <p>Retention and Disposition: see attached 3 sheets Authority for retention period: HRS 622-58 Restrictions: Confidential per HRS 334-5</p> <p>Destruction of records should be done under the direction of a records custodian in a manner that will prevent the reconstruction of the information.</p> <p><i>Man O. Allen</i> Administrator, Hawaii State Hospital</p> <p><i>Sherry K. Hanson</i> Chief, Adult Mental Health Division</p>	1866	present	

2. Record items Nos. M-1 that are retained after purging of non-basic medical information or are designated as being of value for training, research or other special interest will be preserved on microfilm in accordance with Section 92-31 Hawaii Revised Statutes.

It is requested that Record items Nos. _____ be transferred to the State Archives.

3. *Shirley Lee* SIGNATURE OF RECORDS OFFICER
DEPARTMENT OF HEALTH AGENCY
Genevieve Takauma SIGNATURE OF HEAD OF DEPARTMENT
DATE: *for*

4. I hereby certify that the records as listed, unless exceptions are listed below, do not appear to be of sufficient value for legal, administrative, or research purposes to warrant further preservation. Exceptions: selected cases of lasting value as determined by administrative judgement or special training/research value may be retained by the Hawaii State Hospital.

5. Destruction or other disposal, with exceptions indicated, approved. *Amelle*
to be transferred to ☐ State Archives ☐ AGENCY
DATE: *John G. Zamora* STATE ARCHIVIST
June 5, 1996
6/6/96

☒ Continuous authorization
☐ Authorization

DEPARTMENT OF HEALTH
 Adult Mental Health Div.
 Hawaii State Hospital

Item No.	Description	Retention	Disposition
M-1a	Face Sheet / Registration Admission form (or facsimile)	25 years from the date of last entry for adults; 25 years from the age of majority for minors.	May microfilm. May destroy original after microfilming.
M-1b	Clinical Summary (Discharge Summary)	"	"
M-1c	Operative Report and Consent (if present)	"	"
M-1d	Pathology Report (if present)	"	"
M-1e	Autopsy (if present)	"	"
M-1f	Doctor's Orders	"	"
M-1g	Admission Forms Commitment papers Provisional diagnosis Complaint of others re patient and patient response Psychiatric evaluation Physical exam and neurological exam reports	7 years from the date of last entry for adults; 7 years from the age of majority for minors.	Purge from record after retention is met.
M-1h	Treatment Plan	"	"
M-1i	Progress Notes	"	"
M-1j	Consults	"	"
M-1k	Correspondence	"	"
M-1l	Social Work Notes	"	"
M-1m	Consents	"	"
M-1n	Medication Records	"	"
M-1o	Flow Sheets	"	"
M-1p	other Reports and Assessments	"	"

DEPARTMENT OF HEALTH
 Adult Mental Health Div.
 Hawaii State Hospital

Item No.	Description	Retention	Disposition
	<p><u>Selected cases</u> of lasting value as determined by administrative judgement.</p> <p><u>Selected cases</u> for training or research</p> <p>The Superintendent / administrator of Hawaii State Hospital may make arrangements that selected cases for training and research shall be preserved in their entirety. The selected cases may be preserved permanently as records pertaining to the history of mental illness therapeutics in Hawaii.</p> <p>Case records shall not be preserved for teaching or research purposes, unless one of the following conditions is met:</p> <p>(1) Consent from the patient or client for such specific purposes has been received and documented.</p>	<p>Permanent.</p> <p>"</p>	<p>Hawaii State Hospital will be solely responsible for selection, service and storage of cases. May microfilm. May destroy original after microfilming.</p> <p>"</p>

Item No.	Description	Retention	Disposition
	<p>(2) All identifying matter upon the record has been removed or obliterated so as to be illegible. "Identifying matter" includes names of all persons, except medical personnel and therapists, and also the address of the patient or client, his family and persons connected with him, telephone numbers, social security numbers, case file numbers, register numbers, and any and all matter that would enable the identification of the patient or client, his family, and persons connected with him, except for facility personnel mentioned in the record because of their connection with him in the course of his treatment and the services rendered to him.</p> <p>Access to records shall be allowed in accordance with existing statutes and regulations regarding the confidentiality of these records.</p>		

**DEPARTMENT OF HEALTH
RECORDS SERIES REPORT**

**DEPARTMENT: 3205190000
CHILD AND ADOLESCENT MENTAL HEALTH DIVISION**

Records Series ID	Description	Schedule Information	Retention	Disposition
320519-00001	RECORDS OF CLIENT EVALUATIONS (PSYCHIATRIST, PSYCHOLOGIST, OCCUPATIONAL THERAPIST) (Office copy: the originals are in the case record of referring agency).	SA-1 DATED 5/1/1985, ITEM CA-1		Destroy 3 years after client seen.
320519-00002	DAY TREATMENT CENTER. CLIENT'S CASE RECORDS. For the purpose of this retention, records are considered inactive when case terminated before individual is 18 years old, and not reactivated.	SA-1 DATED 5/1/1985, ITEM CDTC-1	Retain until child reaches age 25.	Destroy after cited retention.
320519-00003	CAMHD SPONSORED TRAINING AND CERTIFICATE RECORDS, 1998-present.	SA-1 DATED 1/13/2003, ITEM 1	7 years from completion of training session.	Destroy after cited retention.

*RECORDS SERIES ID is for Records Management Branch use only.

**DEPARTMENT OF HEALTH
RECORDS SERIES REPORT**

DEPARTMENT: 3208100200

FAMILY HEALTH SERVICES DIVISION, MATERNAL AND CHILD HEALTH BRANCH

Records Series ID	Description	Schedule Information	Retention	Disposition
320810-02001	PRAMS (Pregnancy Risk Assessment Monitoring System) SURVEY FORMS, 1999-present.	SA-1 DATED 9/4/2002, ITEM 1	5 years from receipt of data set.	Retain in office for the remainder of the authorized retention period, then destroy.
320810-02002	PRAMS DATABASE, 1999-present.	SA-1 DATED 9/4/2002, ITEM 2	As long as administratively necessary, but no longer than 10 years from end of project funding period.	Purge when no longer needed for administrative purpose.
320810-02003	CHILD LEAD RISK QUESTIONNAIRE, 1997-present.	SA-1 DATED 6/29/2004, ITEM 2	1 year from transmittal to the Center for Disease Control.	Destroy after cited retention.
320810-02004	MALAMA KAUAI PERINATAL NURSING RECORDS, 1999-present.	SA-1 DATED 2/7/2006, ITEM 1	2 years from close of file.	Destroy after cited retention.

*RECORDS SERIES ID is for Records Management Branch use only.

STATE OF HAWAII
RECORDS DISPOSITION AUTHORIZATION

State Archives
Iolani Palace Grounds, Honolulu, Hawaii 96813

Attention: State Archivist

1. In compliance with Section 94-3 Hawaii Revised Statutes, as amended, I hereby request ☒ Continuous authorization to destroy or otherwise dispose of the numbered record items listed below. ☐ Authorization

ITEM NO.	FORM NO.	DESCRIPTION	YEARS OR PERIOD		RETENTION
			FROM	THROUGH	
		Program items as per attached Records Retention Schedule for: Family Health Services Division Maternal and Child Health Branch			

2. Record items Nos. N/A will be preserved on microfilm in accordance with Section 92-31 Hawaii Revised Statutes.
It is requested that Record items Nos. as indicated on attached schedule

be transferred to the State Archives.

3. Myrna K. Sen Department of Health for [Signature]
SIGNATURE OF RECORDS OFFICER AGENCY SIGNATURE OF HEAD OF DEPARTMENT

4. I hereby certify that the records as listed, unless exceptions are listed below, do not appear to be of sufficient value for legal, administrative, or research purposes to warrant further preservation. Exceptions: items scheduled as "retain" or permanent

Record items Nos. as indicated on attached schedule

to be transferred to ☒ State Archives ☐ AGENCY

5. Destruction or other disposal, with exceptions indicated, approved. ☒ Continuous authorization ☐ Authorization

[Signature] Aguila Conrad SEP 1 1979
Date: SEP. 21 1979

DEPARTMENT OF HEALTH

Family Health Services Division
Maternal and Child Health Branch

Item No.	Description	Retention
<u>Administration</u>		
FHSM		
A-1	Nurse-Midwife Licensees: applications, renewals and support documents	Permanent. Retain in office.
<u>Office of Family Planning</u>		
OFP-1	Contracts (duplicate copies) with Family Planning Services Providers. Contracts over \$4000.	Destroy when 5 years old.
OFP-2	Fiscal records (carbon, info copies)	May destroy when 3 years old.
OFP-3	Patient Record Card for Services rendered by and billings received from private physicians	Retain cards for 2 years after program on computer.
OFP-4	Patient summaries: status, services, statistics (computer printout)	
	a) Monthly and quarterly	a) Destroy when annual report comes out.
	b) Annual	b) Destroy when 5 years old.
	c) Raw data sheets (during period of initial programming and debugging)	c) Destroy 2 years after on computer.
<u>Office of Family Planning</u>		
<u>Rural Oahu Family Planning Project</u>		
FP-1	Patient's Medical Records	Total retention: indefinite, but at least 30 years after last entry/discharge. Transfer to inactive upon discharge or if patient has not shown up for 1 year. May transfer to Records Center 4 years after discharge (same as 5 years after last entry). Reevaluate retention in 1995.
<p>FP-1 superseded by SA-1 dated 5/16/1995</p>		
FP-2	Master card file	Permanent.
FP-3	Narrative reports, studies, tables, tabulations and correspondence showing history of project.	Permanent. Transfer to Archives 10 years after close of project.

Office of Family Planning
Rural Oahu Family Planning Project (contd.)

Item No.	Description	Retention
FP-4	Fiscal records (carbon information copies)	May destroy when 3 years old.
FP-4a	Medicaid Billings (Physician's report of services rendered)	May destroy 1 year after claim has been settled.
<u>Waimanalo Children and Youth Maternity and Infant Care Project/Clinics</u>		
MW-1	Fiscal records (carbon information copies)	May destroy when 3 years old.
MW-1a	Medicaid Billings (Physician's report of services rendered. Provider copy)	May destroy 1 year after claim has been settled.
MW-1b	Request for services 1 a) Copy in patient's case file 2 b) Project administration copy	a) May destroy before case file is transferred to storage. b) Destroy when no longer needed to support P.O.
MW-2	Patient Records: Maternity and Postnatal Care, Family Planning, Cancer Detection	Total retention: indefinite, but at least 30 years after last entry. May transfer to Records Center 10 years after last entry. Reevaluate retention in 1995.
MW-3	Patient Records: High Risk Infants, Pediatric Clinic	Total retention: indefinite, but at least until child is 25 years old. May transfer to Records Center 5 years after automatic discharge at age 16 (when patient is 21 years old). Retain at Records Center until patient is 25 years of age. Reevaluate retention in 1995.
MW-2 and MW-3 superseded by SA-1 dated Feb. 24, 1992		
<u>Maternity, Infant Care and Family Planning Clinics</u>		
MN-1	Fiscal Records (carbon information copies)	May destroy when 3 years old.
MN-1a	Medicaid Billings (Physician's Report of Services Rendered. Provider copy)	May destroy 1 year after claim has been settled.

Maternity, Infant Care and Family
Planning Clinics (contd.)

Item No.	Description	Retention
MN-1b	Request for service 1 a) Copy in patient's case file 2 b) Project administration copy	a) May destroy before case file is transferred to storage. b) Destroy when no longer needed to support P.O.
<u>Nanakuli Maternity, Infant Care and Family Planning Clinic</u>		
MN-2	Patient records: Maternity and Postnatal Care, Family Planning, Cancer Detection	Total retention: indefinite, but at least 30 years after last entry. May transfer to Records Center entry/discharge on in 1995.
MN-3	<div>12/19/96 Note to File: GRS No. 10, 1996 Item 10.1a supersedes SA-1 dated 9/21/97 Items FHSM MN-2 and FHSM MN-3</div>	
<u>Children and Youth Preschool Screening</u>		
CPS-1		indefinite, but after discharge on in 1995.
		after sum-
		after the ol year to ain.
CPS-2	Case charts for children evaluated because screening results fell outside normal range, who are not referred out.	Total retention: 25 years after discharge. May transfer to Records Center 5 years after discharge.
<u>Early and Periodic Screening, Diagnosis and Treatment. Medicaid Eligible Children Screening Program</u>		
CMS-1	Patient Records	Total retention: 30 years after last entry/discharge. May transfer to Records Center 5 years after last entry or at time of final discharge upon child's reaching 21 years of age.
CMS-2	Screening Invoice (provider copy)	May destroy 1 year after claim has been settled.

Early and Periodic Screening, Diagnosis
and Treatment. Medicaid Eligible Children
Screening Program (contd.)

Item No.	Description	Retention
CMS-3	Patient Summaries (computer printout)	
	a) Monthly and quarterly	a) Destroy when annual report comes out.
	b) Annual	b) Total retention: 10 years. May send to Records Center when 5 years old. Retain at Records Center until 10 years old.

**DEPARTMENT OF HEALTH
RECORDS SERIES REPORT**

DEPARTMENT: 3208100100

FAMILY HEALTH SERVICES DIVISION, CHILDREN WITH SPECIAL NEEDS

Records Series ID	Description	Schedule Information	Retention	Disposition
320810-01001	PRE-NATAL SCREENING FILES. DATA COLLECTION RECORDS, 1990 – present. Confidential per HRS 321-331.	SA-1 DATED 11/22/1994, ITEM C-5(1)	1 year from completion of data entry.	Destroy after cited retention.
320810-01002	PRE-NATAL SCREENING FILES. COMPUTER DATABASE, 1990 – present. Confidential per HRS 321-331.	SA-1 DATED 11/22/1994, ITEM C-5(2)	5 years after completion of data entry.	Purge after cited retention.
320810-01003	PRE-NATAL SCREENING FILES. COMPUTER GENERATED REPORTS, 1990 – present. Confidential per HRS 321-331.	SA-1 DATED 11/22/1994, ITEM C-5(3)	2 years after generation / run date.	Destroy after cited retention.
320810-01004	NEWBORN SCREENING FILES. SCREENING FORMS AND LABORATORY REPORTS. CASES WITH NORMAL REPORTS, 1987 – present. Confidential per Hawaii Administrative Rules 11-143-12.	SA-1 DATED 11/22/1994, ITEM C-6(1)(a)	Retain in office for 2 years from last entry.	Destroy after cited retention.
320810-01005	NEWBORN SCREENING FILES. SCREENING FORMS AND LABORATORY REPORTS. ALL OTHER CASES, 1987 – present. Confidential per Hawaii Administrative Rules 11-143-12.	SA-1 DATED 11/22/1994, ITEM C-6(1)(b)	10 years from close of case.	Destroy after cited retention.
320810-01006	NEWBORN SCREENING FILES. COMPUTER DATABASE, 1987 – present. Confidential per Hawaii Administrative Rules 11-143-12.	SA-1 DATED 11/22/1994, ITEM C-6(2)	As long as administratively necessary.	May be transferred from active memory 10 years from date of data entry to inactive memory format. Purge when no longer administratively necessary.

*RECORDS SERIES ID is for Records Management Branch use only.

**DEPARTMENT OF HEALTH
RECORDS SERIES REPORT**

DEPARTMENT: 3208100100

FAMILY HEALTH SERVICES DIVISION, CHILDREN WITH SPECIAL NEEDS

Records Series ID	Description	Schedule Information	Retention	Disposition
320810-01007	NEWBORN SCREENING FILES, 1987 – present. COMPUTER GENERATED REPORTS. Confidential per Hawaii Administrative Rules 11-143-12.	SA-1 DATED 11/22/1994, ITEM C-6(3)	2 years after generation / run date.	Destroy after cited retention.
320810-01008	SOCIAL SERVICE / INTAKE RECORDS.	SA-1 DATED 7/21/1995, ITEM NO. 1.	7 years from close of case.	Destroy after cited retention.
320810-01009	EARLY INTERVENTION SECTION: CARE COORDINATION CASE RECORDS, WITHOUT PSYCHOLOGICAL SERVICES, 1989-present.	SA-1 DATED 7/1/2004, ITEM 1A.	7 years after close of file.	Retain in office for 2 years, after close of file, then may transfer to State Records Center for the remainder of authorized retention period. Destroy at the end of the authorized retention period.
320810-01010	EARLY INTERVENTION SECTION: CARE COORDINATION CASE RECORDS, WITH PSYCHOLOGICAL SERVICES, 1989-present.	SA-1 DATED 7/1/2004, ITEM 1B.	3 years from age of majority.	Retain in office for 2 years, after close of file, then may transfer to State Records Center for the remainder of authorized retention period. Destroy at the end of the authorized retention period.
320810-01011	INCLUSION PROJECT CASE FILES, 1994-present.	SA-1 DATED 1/26/1998, ITEM 2	4 years after close of file.	Destroy after cited retention.

*RECORDS SERIES ID is for Records Management Branch use only.

**DEPARTMENT OF HEALTH
RECORDS SERIES REPORT**

DEPARTMENT: 3208100100

FAMILY HEALTH SERVICES DIVISION, CHILDREN WITH SPECIAL NEEDS

Records Series ID	Description	Schedule Information	Retention	Disposition
320810-01012	NEWBORN HEARING SCREENING PROGRAM RECORDS. 1992-present. (A) SCREENING FILES.	SA-1 DATED 1/26/1998, ITEM 3A	3 years after close of screening process.	Destroy after cited retention.
320810-01013	NEWBORN HEARING SCREENING PROGRAM RECORDS. 1992 - present. (B) DATABASE (HITRACK)	SA-1 DATED 1/26/1998, ITEM 3B	Non-permanent.	Delete information in the database when no longer needed.
320810-01014	NEWBORN HEARING SCREENING PROGRAM RECORDS. 1992-present. (C) BACKUP SCREENING RESULTS.	SA-1 DATED 1/26/1998, ITEM 3C	Non-permanent.	Destroy when no longer administratively useful, but do not retain longer than 3 years after close of screening process.
320810-01015	RESPIRE CLIENT FILES, 1995-present.	SA-1 DATED 1/26/1998, ITEM 4	Non-permanent.	Destroy when no longer administratively useful, but generally do not retain longer than 3 years after close of file.
320810-01016	AUTHORIZATION FOR SERVICES, 1995-present.	SA-1 DATED 1/26/1998, ITEM 5	4 years after close of file.	Destroy after cited retention.
320810-01017	INFANT AND TODDLER SERVICE FILES, 1990 – present.	SA-1 DATED 4/1/1999, ITEM 1	5 years from close of case.	Destroy after cited retention.

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**DEPARTMENT OF HEALTH
RECORDS SERIES REPORT**

DEPARTMENT: 3208280300

**COMMUNICABLE DISEASE DIVISION, PUBLIC HEALTH NURSING BRANCH
STUDENT HEALTH RECORDS**

Records Series ID	Description	Schedule Information	Retention	Disposition
320828-03001	STUDENT HEALTH RECORD (FORM 14) (This record contains information on the physical condition, medical status, tuberculosis exam results, immunization history, and health history of each student, including physician follow-up reports to notices to parents of illness or injury). This record is also called the Pupil's Health Record.	SA-1 DATED 7/28/2006, ITEM 1	Give to child upon transfer out of system. If child's whereabouts unknown, put in Cumulative Scholastic Folder. (This retention period conforms with the retention instructions for Health Room, item no. 5 on the Department of Education Records Disposition Authorization (form SA-1), dated 8/31/1979.)	Dispose in accordance with retention instructions.
320828-03002	TEMPORARY F 14 (Student's Health Record). (Temporary working copy of Student's Health Record).	SA-1 DATED 7/28/2006, ITEM 2	Until receipt of the original copy of the Form 14 (Student's Health Record).	Destroy upon receipt of the original copy of the Form 14 (Student's Health Record).
320828-03003	COMPLETIONS AND TRANSFERS OF PROVISIONAL ENTERERS. (Temporary form 14 for students who lack proof of all immunizations and physical exams).	SA-1 DATED 7/28/2006, ITEM 3	Until the record becomes inactive.	Destroy when provisional student attendance / transfer is completed and the original copy of the Form 14 (Student's Health Record) is received and any follow-up is completed.

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**DEPARTMENT OF HEALTH
RECORDS SERIES REPORT**

DEPARTMENT: 3208280300

**COMMUNICABLE DISEASE DIVISION, PUBLIC HEALTH NURSING BRANCH
STUDENT HEALTH RECORDS**

Records Series ID	Description	Schedule Information	Retention	Disposition
320828-03004	HEALTH ROOM CARD (Primary record of each student's visits to the health room).	SA-1 DATED 7/28/2006, ITEM 4	2 years after child passes last grade level at school.	Retain in office. Destroy after cited retention. Need not use Health Center Card (orange) or Health Room Log, or Emergency Card if this card is kept.
320828-03005	HEALTH CENTER CARD (Secondary record of each student's visit to the health room)	SA-1 DATED 7/28/2006, ITEM 5	2 years after child passes last grade level at school. Need Not use this form if either Health Room Card or Health Room Log is used. (This conforms with Health Room, item No. 4 on DOE SA-1 dated 8/31/79.	Dispose of in accordance with retention instructions.
320828-03006	HEALTH ROOM LOG (Annual log of students treated at a health room. The "Notice to Parents," requesting medical follow-up is attached to the Health Room Log after the follow-up). (Note: The physician's follow-up report is attached to the Form 14).	SA-1 DATED 7/28/2006, ITEM 6	2 years after end of school year to which they pertain.	Retain in office. Destroy after cited retention.

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**DEPARTMENT OF HEALTH
RECORDS SERIES REPORT**

DEPARTMENT: 3208280300

**COMMUNICABLE DISEASE DIVISION, PUBLIC HEALTH NURSING BRANCH
SCREENING LISTS**

Records Series ID	Description	Schedule Information	Retention	Disposition
320828-03007	SCREENING CLASS LISTS AND FOLLOW-UP WORKSHEETS (Rosters of children screened and results).	SA-1 DATED 7/28/2006, ITEM 7	After results posted to Student Health Record.	Destroy after results posted to Student's Health Record and follow-up has been completed.
320828-03008	HEALTH HISTORY LIST (Rosters of children who have significant conditions that may affect educational functioning or may require emergency assistance).	SA-1 DATED 7/28/2006, ITEM 8	Until end of school year. (This retention conforms with the retention instructions of Counselor's Office, Intermediate & High Schools Teachers, Elementary Schools: item 3 on the Department of Education Records Disposition Authorization (form SA-1), dated August 31, 1979.	Destroy after end of school year.
320828-03009	PEDICULOSIS WORKSHEET (Screening for lice)	SA-1 DATED 7/28/2006, ITEM 9	Until record becomes inactive.	Destroy after follow-up screening after treatment is completed.

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**DEPARTMENT OF HEALTH
RECORDS SERIES REPORT**

DEPARTMENT: 3208280300

**COMMUNICABLE DISEASE DIVISION, PUBLIC HEALTH NURSING BRANCH
INVENTORY CONTROL**

Records Series ID	Description	Schedule Information	Retention	Disposition
320828-03010	HEALTH ROOM INVENTORY (Lists of health room supplies and equipment).	SA-1 dated 7/28/2006, ITEM 10	Until record becomes inactive.	Destroy when inventory is updated and superseded at the beginning of the next school year.

*RECORDS SERIES ID is for Records Management Branch use only.

**DEPARTMENT OF HEALTH
RECORDS SERIES REPORT**

**DEPARTMENT:
COMMUNICABLE DISEASE DIVISION, PUBLIC HEALTH NURSING BRANCH
MEDICATION RECORDS**

Records Series ID	Description	Schedule Information	Retention	Disposition
320828-03011	REQUESTS FOR ADMINISTRATION / STORAGE OF MEDICATION (Lists of medication for students, stored at school)	SA-1 DATED 7/28/2006, ITEM 11	2 years after end of school year.	Retain in office. Destroy after cited retention.
320828-03012	MEDICATION RECORD SHEETS (Daily and weekly records of medications administered to students).	SA-1 DATED 7/28/2006, ITEM 12	2 years after end of school year in which services end.	Retin in office. Destroy after cited retention.

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**DEPARTMENT OF HEALTH
RECORDS SERIES REPORT**

DEPARTMENT: 3208150300

COMMUNICABLE DISEASE DIVISION, TUBERCULOSIS BRANCH

Records Series ID	Description	Schedule Information	Retention	Disposition
320815-03001	REGISTER CARDS (REGISTRY YELLOW CARDS – TB FORM 15)	SA-1 dated 10/5/2018 Item TB-1	100 years from creation.	Destroy after cited retention.
320815-03002	TB BRANCH MASTER LOCATOR FILE.	SA-1 dated 10/5/2018 Item TB-2	ABOLISHED	ABOLISHED
320815-03003	COMPUTERIZED RECORD LOCATOR INDEXES	SA-1 dated 10/5/2018 Item TB-3	ABOLISHED	ABOLISHED
320815-03004	SURVEY REGISTRATION CARD (HARD COPY & MICROFILM)	SA-1 dated 10/5/2018 Item TB-4	ABOLISHED	ABOLISHED
320815-03005	PERSONAL DATA CARD ON DIAGNOSED TB CLINIC CASES	SA-1 dated 10/5/2018 Item TB-5	ABOLISHED	ABOLISHED
320815-03006	CHEST CLINIC PATIENT SERVICES RECORDS: Patient Case File a) Chart forms for computer and medical notes. b) Servicing abstracts (individual)	SA-1 dated 10/5/2018 Item TB-R1	USE GRS 10.1	USE GRS 10.1
320815-03007	CHEST CLINIC PATIENT SERVICES RECORDS: Final Servicing Abstract (individual)	SA-1 dated 10/5/2018 Item TB-R2	20 years.	Destroy after cited retention.
320815-03008	CHEST CLINIC PATIENT SERVICES RECORDS: Book form monthly servicing abstracts (patient lists).	SA-1 dated 10/5/2018 Item TB-R3	20 years	Destroy after cited retention.

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**DEPARTMENT OF HEALTH
RECORDS SERIES REPORT**

DEPARTMENT: 3208150300

COMMUNICABLE DISEASE DIVISION, TUBERCULOSIS BRANCH

Records Series ID	Description	Schedule Information	Retention	Disposition
320815-03009	CHEST CLINIC PATIENT SERVICES RECORDS: Contact and source investigation summaries.	SA-1 dated 10/5/2018 Item TB-R4	10 years.	Destroy after cited retention.
320815-03010	RADIOLOGY FILM SURVEY. 4X4 AND 70 MM SURVEY FILMS NOT SHOWING PATHOLOGY, NOT MINORS.	SA-1 dated 10/5/2018 Item SX-1	ABOLISHED	ABOLISHED
320815-03011	RADIOLOGY FILM SURVEY: 4X4 AND CUT OUT 70MM FILMS SHOWING ABNORMAL FINDINGS. PATIENT REFERRED OUT.	SA-1 dated 10/5/2018 Item SX-2	ABOLISHED	ABOLISHED
320815-03012	RADIOLOGY FILM SURVEY: 14X17 SURVEY X-RAYS. PATIENT REFERRED OUT.	SA-1 dated 10/5/2018 Item SX-3	ABOLISHED	ABOLISHED
320815-03013	CHEST CLINIC: PATIENT X-RAY FILMS.	SA-1 dated 10/5/2018 Item CX-1	Use GRS 10.1c. X-Ray films, etc.	Use GRS 10.1c. X-Ray films, etc.
320815-03014	ADMINISTRATIVE RECORDS – CHEST CLINIC: "PATIENTS REFERRED: CORRESPONDENCE: LETTERS TO AND FROM REFERRING AGENCIES, PHYSICIANS REGARDING PATIENTS NOT SERVICED BY THE TB CLINIC.	SA-1 dated 10/5/2018 Item A-C1	3 years from creation.	Destroy after cited retention.
320815-03015	ADMINISTRATIVE RECORDS – SURVEY: SURVEY FILM READING SHEET.	SA-1 dated 10/5/2018 Item A-S1	ABOLISHED	ABOLISHED

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**DEPARTMENT OF HEALTH
RECORDS SERIES REPORT**

DEPARTMENT: 3208150300

COMMUNICABLE DISEASE DIVISION, TUBERCULOSIS BRANCH

Records Series ID	Description	Schedule Information	Retention	Disposition
320815-03016	ADMINISTRATIVE RECORDS - SURVEY: REQUEST FROM PRIVATE PHYSICIANS FOR ISSUANCE OF FREEDOM FROM TB CERTIFICATES.	SA-1 dated 10/5/2018 Item A-S2	ABOLISHED	ABOLISHED
320815-03017	ADMINISTRATIVE RECORDS - SURVEY: SURVEY SUMMARY REPORTS.	SA-1 dated 10/5/2018 Item A-S3	ABOLISHED	ABOLISHED
320815-03018	ADMINISTRATIVE RECORDS: - SURVEY WORKSHEETS.	SA-1 dated 10/5/2018 Item A-S4	ABOLISHED	ABOLISHED
320815-03019	ADMINISTRATIVE RECORDS – SURVEY: SKIN TEST CHITS.	SA-1 dated 10/5/2018 Item A-S5	ABOLISHED	ABOLISHED
320815-03020	ADMINISTRATIVE RECORDS – SURVEY: REGISTRATION FORMS WITH CXR RESULTS.	SA-1 dated 10/5/2018 Item S-TB-1 (CRX)	7 years.	Destroy after cited retention.
320815-03021	ADMINISTRATIVE RECORDS – SURVEY: ADMINISTRATIVE RECORDS – SURVEY.	SA-1 dated 10/5/2018 Item S-TB-1 (TST)	3 years.	Destroy after cited retention.
320815-03022	ADMINISTRATIVE RECORDS – NURSING OFFICE: CHEMOPROPHYLAXIS / CHEMOTHERAPY CARDS.	SA-1 dated 10/5/2018 Item A-N1	ABOLISHED	ABOLISHED

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**DEPARTMENT OF HEALTH
RECORDS SERIES REPORT**

DEPARTMENT: 3208150300

COMMUNICABLE DISEASE DIVISION, TUBERCULOSIS BRANCH

Records Series ID	Description	Schedule Information	Retention	Disposition
320815-03023	ADMINISTRATIVE RECORDS – REGISTER: REGISTER FILE OF COPIES OF DOCUMENTS WHOSE ACTION IS POSTED TO REGISTER.	SA-1 dated 10/5/2018 Item A-R1	ABOLISHED	ABOLISHED
320815-03024	ADMINISTRATIVE RECORDS – REGISTER: REGISTER LOG BOOKS.	SA-1 dated 10/5/2018 Item A-R2	ABOLISHED	ABOLISHED
320815-03025	ADMINISTRATIVE RECORDS – ADMINISTRATION: FEDERALLY FUNDED TB ERADICATION PROJECT STATISTICAL DATA.	SA-1 dated 10/5/2018 Item A-1	ABOLISHED	ABOLISHED
320815-03026	PHARMACY: PRESCRIPTIONS.	SA-1 dated 10/5/2018 Item P-1	5 years from date of creation.	Destroy after cited retention.

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STATE OF HAWAII
RECORDS DISPOSITION AUTHORIZATIONState Archives
Iolani Palace Grounds, Honolulu, Hawaii 96813

Attention: State Archivist

1. In compliance with Section 94-3 Hawaii Revised Statutes, as amended, I hereby request ☒ Continuous authorization to destroy
or otherwise dispose of the numbered record items listed below. ☐ Authorization

ITEM NO.	FORM NO.	DESCRIPTION	YEARS OR PERIOD		RETENTION
			FROM	THROUGH	
		Program items as per attached Records Retention Schedule for: County/State Hospitals Division Hospitals			

2. Record items Nos. N/A

_____ will be preserved on microfilm in accordance with Section 92-31 Hawaii Revised Statutes.

It is requested that Record items Nos. as indicated on attached schedule

_____ be transferred to the State Archives.

3.

Myrna K. Sen
SIGNATURE OF RECORDS OFFICERDepartment of Health
AGENCYJohn F. Katsman, MD
FOR SIGNATURE OF HEAD OF DEPARTMENT
DATE: OCT - 8 1981

4. I hereby certify that the records as listed, unless exceptions are listed below, do not appear to be of sufficient value for legal, administrative, or research purposes to warrant further preservation. Exceptions: items scheduled as "retain" or "permanent"

Record items Nos. as indicated on attached schedule_____ to be transferred to ☒ State Archives☐

AGENCY

Agnes Conrad
STATE ARCHIVIST
DATE: OCT 9, 1981

5. Destruction or other disposal, with exceptions indicated, approved.

John M. Sen
COMPTROLLER

- ☒ Continuous authorization
☐ Authorization

Date: OCT 13 1981

HOSPITALS: RETENTION SCHEDULE

Use State of Hawaii General Records Schedule for fiscal,
personnel, and payroll records, except for those listed below.

Item No.	Description	Retention
	<u>Administration</u>	
A-1	Committee Reports, Minutes of Meetings	
	(a) Executive and Medical Staff Committees	(a) Permanent.
	(b) Utilization Review, Infection, Pharmacy and Therapeutics, Medical Records Committees	(b) May destroy after 10 years old
A-2	Contracts or agreements with outside providers of services rendered at this facility, including agreements with outside providers for transfer of residents/patients	Destroy originals 6 years after completion of contract. Copies retained for reference only may be destroyed 1 year after completion of contract.
A-3	Policy and Procedure Manual	
	(a) Administration Master copy	(a) Retain original master set permanently; file superseded portions separately.
	(b) Unit reference copies	(b) At unit: Destroy portions that have been superseded.
A-4	Medicare/Medicaid Deficiency Reports	May destroy after 3 years old.
A-5	Written description of Utilization Review Plan. Medical Care Evaluation Studies	Permanent.
A-6	Records documenting compliance with building and fire codes, sanitation inspections. Evacuation/Fire Control Plans	May destroy 1 year after superseded.
A-7	Emergency Power Facility: reports on inspections, performance exercising period and repairs	May destroy after 5 years old.
A-8	Patient Register	Permanent.
A-9	Incident Reports	Destroy after 6 years old. If minor involved, destroy after minor reaches age 25.
A-10	Medicare/Medicaid Certification material: certifications, licensing, suspensions, revocations	Permanent.
A-11	Security Guard Logs	Retain as long as recommended by security guard agency, but in any case no longer than 6 years after last entry.

Item No.	Description	Retention
	<u>Business Office</u>	
	For all fiscal, payroll and personnel records except those listed below, see General Records Schedule of the State of Hawaii. Use retention periods judiciously: if record is audited on site, use "audit copy" or "business office copy" retention.	
B-1	Medicaid Records	
	(a) Title XIX Hospital Report of Services Rendered. (Medicaid Billing) Provider copy. Charge slips.	(a) Audited records: May destroy audited records no less than 1 year after claim has been settled, <u>and</u> after resolution of medicaid agency audit, or acceptance of internal audit by medicaid agency. Subject to audit, not audited: May destroy 5 years old, with State Comptroller's permission. /Clinics only: audited at medicaid agency, may destroy 1 year after claim has been settled. ⁷
	(b) Medicaid Annual Provider Cost Reports (provider copy)	(b) May destroy when no longer of administrative use.
	(c) Medicaid Annual Provider Cost Reports: support documents and worksheets	(c) Destroy after 6 years old.
B-2	Medicare Records	
	(a) Medicare Billing Materials	(a) May destroy after no less than 5 years old, except that if no internal (State) audit has been performed, then 20 days written notice of intent to destroy shall be sent to State Comptroller.
	(1) Title XVII Inpatient Hospital and Skilled Nursing Facility Admission and Billing (provider copy)	
	(2) Eligibility Report	
	(3) Worksheets	
	(4) Remittance Advice and Receipt for Medicare claims paid	
	(5) Charge slips	
	(b) Annual Provider Cost Reports to Medicare Fiscal Intermediary (HMSA). provider copy	(b) May destroy when no longer of administrative use.
	(c) Annual Provider Cost Reports: support documents and worksheets	(c) Destroy after 5 years old.
B-3	Patient Trust Fund Records	
	(a) Patient authorizations to handle money, authorizations to deduct money for charges.	(a) Destroy 6 years after discharge

Item No.	Description	Retention
	(b) Logs of receipt and disbursement into and out of individual account; Receipts and disbursement reports; disbursement vouchers; cash receipts, individual statements	(b) Destroy no less than 6 years old <u>and</u> 1 year after audit resolution.
	(c) Checks, cancelled; check registers; records of deposit and withdrawal; bank statements	(c) May destroy after 10 years old.
B-4	Valuables Envelope	Destroy 6 years after items returned and signed for.
B-5	(a) Meal Tickets Receipts	(a) Destroy 6 years old.
	(b) Meal Tickets	(b) Destroy 1 year old.

Item No.	Description	Retention
	<u>X-ray</u>	
X-1	X-ray films	Destroy chest films showing TB pathology after 10 years old, unless hospital is treating for TB in which case destroy 15 years old. All others, destroy 5 years old.

See also Appendix: "Radiation Protection and Radioactive Materials Control."

Item No.	Description	Retention
	<u>Pharmacy</u>	
P-1	Formulary: procedures	Destroy superseded portions.
P-2	Inventory of stocks of drugs, including narcotics. Purchasing records (duplicated in Business Office)	Destroy 2 years old.
P-3	Prescriptions/Physician's Orders. "Controlled Substances Dispensed" File	Destroy 5 years old.
P-4	Individual Patient Medication Profiles	
	(a) Acute Care	(a) May destroy 1 year old.
	(b) Chronic Care	(b) May destroy 5 years old.

Item No.	Description	Retention
	<u>Clinical Lab</u>	
L-1	Procedure manual, including list of routine tests performed upon admission	Destroy superseded portions.
L-2	Test records, duplicated in chart, or report in chart	
L-3	Proficiency Testing Reports, Clinical Laboratory Personnel. Quality Control Instrument Testing Records	Destroy 3 years old.
L-4	Instrument maintenance log	Retain for life of instrument.

Item No.	Description	Retention
	<u>Nursing Office</u>	
N-1	Minutes of Registered Professional Nursing Staff Meetings	May destroy after 5 years old.
N-2	Records of Inservice Training and Staff Development Program	
	(a) Inservice training records, duplicated at DOH personnel office in employee jacket	(a) May destroy, if duplicated in DOH personnel office jacket, when 5 years old.
	(b) Individual record cards, showing courses taken	(b) May destroy 3 years after employee termination.
N-3	Monthly Staffing Schedules	Destroy 3 years after close of year covered.
N-4	Daily Work Assignment Schedules	Destroy at end of the month.
N-5	Requests for exchange of days/leaves of absence	Destroy 3 years after close of year covered.

Item No.	Description	Retention
	<u>Therapy Treatment Records</u>	
	Physical, Occupational, Recreational Therapy	
T-1	Therapy Treatment Records at unit	If data on records is duplicated in sufficient detail in chart, these records at unit may be destroyed after person not seen for 5 years.

Item No.	Description	Retention
<u>Medical Records</u>		
A.	General Hospital Medical Records	
1.	Acute Care	
	(1) Basic Information upon face sheet, including but not limited to dates of admission and discharge, names of responsible physicians, record of diagnosis and operations, summaries of condition at discharge. Consents to destruction of records, if destroyed under <u>Exception "A"</u> , below.	(1) Destroy 25 years after last entry on medical record or discharge date; or 6 years after death. May microfilm and destroy original any time after deemed inactive.
	(2) Complete medical record (exclusive of basic information, above)	
	(a) minors, mentally retarded	(a) Destroy 25 years after last entry, or 6 years after death.
	(b) adults	(b) Destroy 25 years after last entry, or 6 years after death.
<u>Exceptions:</u>		
Exception A: If permission received from:		
	(1) attending and consulting physicians, documented in record <u>and</u>	
	(2) the patient or the patient's legal guardian, documented in record.	
		May destroy 10 years after last entry.
Exception B: Hospitals with less than 50 beds who do not have ob/gyn, ICU/CCU, surgery under general anesthesia, psychiatric, MR or DD facilities, and who transfer the following types of injuries or diseases to a larger facility or a specialized facility following diagnosis: back injury, head injury, fractures, loss of visual acuity, chronic dermatitis, bursitis, heart disease, chronic diseases such as renal disease, cancer, TB, and incurable diseases:		
		May destroy records 10 years after discharge/last entry if documentation is received from the hospital executive (medical staff) committee certifying that the 10-year retention is long enough for all treatment purposes.
Exception C: Records 10 years after discharge/last entry: The hospital follows the following procedure for all records except ob/gyn, ICU/CCU, surgery under general anesthesia, psychiatric, MR or DD facilities, and records pertaining		

Item No.	Description	Retention
	to the following diseases and injuries: back injury, head injury, fractures, loss of visual acuity, chronic dermatitis, bursitis, heart disease, chronic diseases such as renal disease, cancer, TB and incurable diseases:	
	Before destruction, a list of records to be destroyed, which shall include record number, dates of admission and discharge, names of responsible physicians, record of diagnosis and operations, summaries of condition at discharge, shall be submitted to the hospital executive (medical staff) committee. The staff shall have 60 days to review the list and earmark those records which must be retained for the longer period because of their necessity for treatment purposes. With no response to the contrary within 60 days, the records listed shall be destroyed.	
	All records: May microfilm and destroy original any time after deemed inactive. Records involved in medical claim conciliation or litigation may not be destroyed until permission is obtained from legal counsel of all parties involved.	
B.	Outpatient Clinic Records Complete Medical Record	
	(a) Minors, mentally retarded	(a) Destroy 25 years after last entry, or 6 years after death.
	(b) Adults	(b) Destroy 15 years after last entry. TB: 20 years.
		(a & b) Records involved in litigation may not be destroyed until permission is obtained from legal counsel of all parties involved.

Item No.	Description	Retention
C.	Psychiatric Records Complete Medical Record	C.(1)
	(1) Inpatient	
	(a) Minors, mentally retarded, case terminated on or before 10th birthday	(a) Destroy 25 years after last entry.
	(b) Adults, minors age 10 and above	(b) Destroy 15 years after discharge or last entry, or 6 years after death, if known.
		(a & b) Discharge summary: may microfilm and destroy original any time after deemed inactive. Records involved in litigation may not be destroyed until permission is obtained from legal counsel of all parties involved.
	(2) Outpatient	C.(2)
	(a) Adult Case Records, Chronic Cases Definitions: "Chronic Cases": individual has had 2 or more hospitalizations and 2 or more years of outpatient treatment. "Adult Case Record": case terminated after individual is 18 years old, and not reactivated for 6 years.	(a & b) Destroy no less than 6 years after last entry/discharge. Chronic Cases, as defined in section (a) may be destroyed 10 years after last entry/discharge.
	(b) Adult Case Records, Non-chronic Cases Definitions: "Non-chronic Cases": individual has never been hospitalized, or has been hospitalized no more than once, and has had less than 2 years of outpatient treatment. "Adult Case Record": case terminated after individual is 18 years old, and not reactivated for 6 years.	
	(c) Children's Case Records Definition: case terminated before individual is 18 years old.	(c) Destroy when child is 25 years of age.
		(a, b, & c) Records involved in litigation may not be destroyed until permission is obtained from legal counsel of all parties involved.

Item No.	Description	Retention
D.	Skilled Nursing Facility/Intermediate Care Facility/Long Term Care Facility. Complete Medical Record.	D.
	(a) Minors	(a) Destroy 25 years after last entry, or 6 years after death.
	(b) Mentally Retarded (ICF-MR units)	(b) Destroy 30 years after last entry, or 6 years after death.
	(c) Adults	(c) Destroy 10 years after last entry, or 6 years after death.
	In addition: SNF, ICF, ICF-MR, Long Term Care Facilities using <u>Problem Oriented Medical Records</u>	
D-1	<u>Problem Oriented Medical Records.</u> Within the active record, (a) Drs orders for refills of medication (same med., same dose) where original order is in record and medication and dose is noted on Treatment Plan; and (b) flowsheets; (c) medication administration records; and (d) multi-disciplinary entry logs, where summarized in regular periodic evaluations and medical summaries.	D-1 Within the active record, may destroy duplicated data after 10 years old.
E.	Indexes	Permanent.

Item No.	Description	Retention
	<u>Dietary</u>	
D-1	Manual of Regimens for Therapeutic Diets	Destroy superseded portions.
D-2	Food Handling Establishment Certifications and Inspection Reports	May destroy 1 year after superseded.
D-3	Modified and Therapeutic Diet Plans as Prescribed by Physician (original is in patient's record)	May destroy 1 year after revised and superseded, or cancellation.
D-4	Food Service Menu Plans	May destroy after 3 months old.
D-5	Journals of Expenditure for Dietary Unit	Destroy 5 years old.
D-6	Stock records. Reference copies of requisitions and purchase orders.	Destroy 2 years old.

Item No.	Description	Retention
	<u>Laundry/Linen</u>	
L-1	Tally sheets for laundry, sewing. Monthly reports. Monthly work schedules.	Destroy 1 year old.
L-2	Stock records	Destroy 2 years old.

Item No.	Description	Retention
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APPENDIX: RADIATION PROTECTION AND
RADIOACTIVE MATERIALS CONTROL

Required documentation for medicare certified hospitals; for registrants with the state Department of Health under PHR 33 "Radiation Protection"; and for holders of materials licenses issued by the Nuclear Regulatory Commission.

RA-1	Written policies of procedure: use of equipment, removal and disposal of radium element, its disintegrative products, and other radioactive isotopes. Required of all medicare certified hospitals.	Retain master file of all regulations permanently, filing superseded regulations separately. At work unit, destroy superseded portions in reference manual.
RA-2	State Registration to use or operate radiation machine, or store, manufacture, use or handle radioactive material. Required of hospitals licensed under PHR 12, unless hospital is exempt under Radiation Protection regulations (PHR 33-4).	Permanent.
RA-3	State Department of Health, Noise and Radiation Branch. Documentation of non-compliance, violations, hazards and their correction. Correspondence. Required of all hospitals registered under State Radiation Protection Regulations (PHR 33).	Permanent.
RA-4	Materials Licenses from the Nuclear Regulatory Commission; Applications; Correspondence. Required of hospitals using radioactive by-product material for human uses/medical uses that are not exempted by the Nuclear Regulatory Commission.	Permanent.
RA-5	Nuclear Regulatory Commission Correspondence, Documentation of violations, hazards and their correction. Required of holders of Nuclear Regulatory Commission materials licenses.	Permanent.
RA-6	Fluoroscope output monitoring records. Required of all medicare certified hospitals. In general, registrants with the state and licensees of the Nuclear Regulatory Commission must perform periodic surveys under specified conditions.	May destroy 2 years old, if no hazard detected. If hazard detected, retain permanently records from date of discovery, for the duration of the hazard, to date of hazard deemed corrected by inspecting agencies.

Item No.	Description	Retention
RA-7	<p>Records of Periodic Routine Area Radiation Surveys, including sealed sources and storage areas.</p> <p>Required of medicare certified hospitals.</p> <p>Required of state registrants and of licensees of the Nuclear Regulatory Commission.</p>	<p>Except for "surveys to determine external radiation dose in the absence of personnel monitoring records "as required of NRC licensees (see "Personnel Monitoring Records" below):</p> <p>May destroy 2 years after completion of survey if no hazard detected.</p> <p>If hazard detected retain permanently records from date of discovery, for the duration of the hazard, to date of hazard deemed corrected by inspecting agencies.</p>
RA-8	<p>Personnel Monitoring Records</p> <p>(1) <u>Periodic Monitoring Records</u> (Exposure meter, badge tests) Required of all medicare certified hospitals, and of State registrants and Nuclear Regulatory Commission Licensees under specified conditions.</p> <p>(2) <u>Termination Summary Statements of Employee Average Dose During Employment</u> Upon request of the Director of Health, submitted upon termination of employee by state registrants. Under specified conditions, submitted by licensees to Nuclear Regulatory Commission.</p> <p>(3) <u>Incident Reports</u> (Incident, Overexposure, Excessive Levels and Concentration) Under specified conditions submitted to Director of Health and/or as applicable to Nuclear Regulatory Commission.</p> <p>(4) <u>Surveys to Determine External Radiation Dose in the Absence of Personnel Monitoring Records</u> May be required of NRC licensees under specified conditions.</p>	<p>Permanent.</p>
RA-9	<p><u>Air Level Monitoring Records</u></p> <p>Required of state registrants under specified conditions.</p> <p>Required of Nuclear Regulatory Commission licensees under specified conditions.</p>	<p>Permanent.</p>

Item No.	Description	Retention
RA-10	<u>Radioactive materials removed from installation: amount, kind, and disposition.</u> Required of state registrants.	May destroy when authorized to do so by Director of Health. This retention does not apply to records of by-product material held under license from the Nuclear Regulatory Commission. (See RA-11, below)
The following (RA-11 through RA-15) apply to hospitals holding Nuclear Regulatory Commission licenses for human/medical uses of radioactive by-product material.		
RA-11	Records of receipt, transfer and disposal of radioactive by-product material:	
	(a) Records of <u>receipt</u> of by-product material	(a) May destroy 2 years after material transferred or disposed of.
	(b) Records of <u>transfer</u> of by-product material	(b) May destroy 5 years after material transferred.
	(c) Records of <u>disposal</u> of by-product material	(c) Retain until Nuclear Regulatory Commission authorizes destruction.
RA-12	Records of monitoring of packages of radioactive material upon receipt, if required under 10 CFR 20.205, or as a condition of NRC materials license.	If no hazard present, may destroy 2 years old. If hazard detected, retain records of discovery of hazard and notifications of the final delivering carrier and the Nuclear Regulatory Commission, permanently.
RA-13	Medical Isotope Committee Meeting Minutes. Required of holders of NRC "specific licenses for human uses of by-product material in institutions."	Permanent.
RA-14	Leak Test Records and Quarterly Physical Inventories. Required of holders of NRC "specific licenses for certain groups of medical uses of by-product material."	Retain until authorized to destroy by Nuclear Regulatory Commission.
RA-15	Teletherapy Licensee's Records	
	(a) Records of full calibration measurements of teletherapy units	(a) May destroy 5 years after completion of the full calibration.

Item No.	Description	Retention
	(b) Records of periodic spot-check measurements of teletherapy units. Records of calibration of instruments used to measure full calibration of teletherapy units and spot-check measurements of teletherapy units.	(b) May destroy 2 years after completion of the spot-check measurements and corrective actions.
	(c) Licensee's verification of qualified expert credentials for performing and evaluating results of calibrations and spot-check measurements	(c) May destroy 5 years after the qualified expert's last performance of a full calibration on the licensed teletherapy unit.