



Idaho Records Center

A Program of the Idaho State Archives

*Idaho Department of Health and Welfare
FACS
Retention Schedule of the
Records Management Guide*

(This Schedule Revised November, 2012)



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APPENDIX 9: RECORDS RETENTION SCHEDULE FOR STATE GOVERNMENT AGENCIES

GUIDELINES

A record is recorded information, in any form, including data in computer systems, created or received and maintained by an organization or person in the transaction of business or the conduct of affairs and kept as evidence of such activity.

The following records retention schedule is reviewed and modified, if necessary, on a yearly basis. The schedule is designed to be a reference in designing individualized agency retention schedules and to provide a level of uniformity in records retention throughout Idaho state government. The State Record Center under the Idaho State Historical Society, should be contacted regarding proposed changes or modifications to the records in this schedule, or if activities of an agency require different retention.

All retention periods are filed by either the fiscal or calendar year. For all UNANNOTATED DUPLICATE COPIES, preferably destroy immediately after administrative need ends by either the fiscal or calendar year.

INTRODUCTION TO RECORDS RETENTION SCHEDULE

This schedule is intended for use within an agency's records management program. Regardless, until an agency creates a version of this records retention series specific to its facilities, these are the accepted and established time frames and limitations that should be adhered to.

Retention Schedule Headings Definitions	
Series #	Number associated with each schedule type
Series Title	A general description of the series
Office of Record	Office that commonly creates the record and holds it during its active period
Retention Period	Time to retain the record; life of the record
Transfer Instructions	Where a record goes after its active period
Archival	A – Indicates the record is or may be permanent and have historic value R – Indicates a required review by the Records Manager to determine value
Vital	X – Record is vital for immediate operation of the office of origin or the institution.
Guidance: Restricted Access	RA – Refers to the security needs of a record series. Must be justified. <i>Access to applicable records should be limited to authorized personnel and approved individuals due to privacy and educational interests. Questions about limits should be based on the type of records, its content and the nature of the request for access and use.</i> Records may contain, but are not limited to, confidential, personal or proprietary information.
Guidance: Authorities	Federal and State laws, regulations or requirements that pertain to the series. Where not specifically referenced, Idaho Code § 9-337 through 9-347 of the Public Records Law has been applied. Note that there are exemptions for the access requirements of this law. These may be noted as well.

Retention Codes (Refer to Records Regardless of Format; Type May Vary)	
AC	After closed, terminated, completed, expired, settled or last date of contract
AV	As long as administratively valuable
CE	Calendar Year End (December 31 st)
FE	Fiscal Year End (June 30 th)
LA	Life of Asset
PM	Permanent
UA	University Archives
US	Until Superseded

HOW TO USE THESE SCHEDULES

ESTABLISHING A SCHEDULE

This schedule assumes that:

- The person using it is knowledgeable about his/her office or agency's records;
- An inventory of the records of the office or agency will be performed;
- Time will be taken to apply the definitions to the records found on hand; and
- Records will not be destroyed or reorganized without supervision of the agency's Records Manager or consultation with the State Records Manager.

FUNCTIONS AND TYPES OF RECORDS

This schedule is intended to address records common to most offices and agencies of the State of Idaho. Not every type of record listed here will occur in every agency. Some agencies will discover they have records that do not appear to fit any of these series. For those records, contact the State Records Manager or the agency's Records Manager for guidance.

HIERARCHY OF RECORDS WITHIN AN AGENCY

Put simply, not every office holding a copy of a record is holding the *record copy*. An example is time sheets. The record copy of a time sheet is the one signed and sent to the payroll office. Any copies kept in other offices to confirm later payroll reports (e.g., proper charges to accounts, etc.) are a short-term record, as are any personal copies in other offices. The Office of Record is the payroll office.

When trying to assess the value of a record in the focus area, bear this concept in mind: Where does the ultimate responsibility for a document, report or record lie? There are instances where a record has value for different reasons in different offices. This is the primary reason a physical inventory of records is essential to this process.

WHEN A RECORD SHOULD BE RETAINED LONGER THAN ITS RETENTION

Documents, regardless of format or storage media (e.g., electronic files), associated with any dispute, audit or legal proceeding should not be destroyed or altered without consultation with the agency's Records Manager, General Counsel, Deputy Attorney General or the State Records Manager.

CONFIDENTIALITY, RESTRICTED ACCESS AND PUBLIC RECORDS

The need to limit access to a record type does not mean that it is unavailable as a public record.

- Requests for access to public records should be handled by personnel familiar with the requirements of the laws and regulations that apply to the information requested; and
- For some records flagged in this schedule as “RA – Restrict Access,” copies can be furnished where restricted information is blocked out or redacted to make it available to a public records request. An example is a contract that may be copied if social security number, names, etc., have been obscured.

Concerns about making records available to a public records request should be addressed to the agency’s Records Manager, General Counsel, Deputy Attorney General or the State Archivist.

CREATING AN AGENCY’S RETENTION SCHEDULE

Once an inventory is completed and a summary of the record series which occur in the agency’s office has been compiled, based on this general schedule, a set of decisions will need to be made to establish the Office of Record for each record type. **NOTE:** For many common series, like “correspondence,” the Office of Record will probably be the “office of origin” until it is time to transfer the inactive years of material to the State Record Center. Other records have obvious “homes,” like payroll records (Accounting or Payroll) and permanent or long-term personnel files (Human Resources). It should be noted that smaller-scale agencies may find that a central office becomes the Office of Record for many record types because of staffing or the preference of the agency director. For agencies with regional offices around the State, these decisions may seem problematic. However, with a careful focus on the needs of the offices within an agency and by consulting the State Records Manager, these decisions can be made to the benefit of all.

One of the established benefits of records management, with improved accountability of the Office of Record, is efficiency, in both expense and time, of being able to retrieve a record when it is truly needed, without multiple copies taking up space throughout an agency or an office.

HOW TO USE THE RETENTION SCHEDULE FORMAT

Please consider the sample inserted below. Microsoft Excel was used to create this version of the retention schedule document. The fields of the table should be adhered to for compatibility with other State agencies and offices within a given agency.

The *Records Retention Form*, an online Excel fill-in form document, may be accessed at <http://history.idaho.gov/records-center>

SAMPLE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0110	PERIODIC BUDGET REPORTS Monthly or routine reports on the status of agency appropriation accounts and apportionment, excluding Annual Budget Reports.		FE +3, then destroy			
SG1310	LOSS CONTROL INSPECTION REPORTS An annual self-inspection report used to identify potential hazards within the building or on the agency property. This record may also be used as evidence in defense of a claim. GUIDANCE: - Retain by agency until superseded or obsolete, then send to Risk Management.	Risk Management	US +12, then destroy			
SG18312	STUDENTS - FINANCIAL AID RECORDS - FFEL AND DIRECT LOANS Records related to borrower’s eligibility and participation. All audit requirements to be met prior to disposal. GUIDANCE: - AC - End of the award year in which the student last attended. - Retention based on 34 CFR § 668.24		AC +3, then destroy			RA –Access: FERPA, Confidential Record.
SG18559	COMPUTER SYSTEMS - HARDWARE DOCUMENTATION Operational and maintenance requirements of computer hardware, such as operating manuals, hardware configurations, control systems. GUIDANCE: - Series may relate to property management schedules.		PM	A	X	RA –Access may be restricted as part of facility security plans.

NOTE: A column may be added for specific agency series numbers to allow for associating a records series with an in-house procedure or policy.

APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, DIVISION ADMINISTRATOR’S OFFICE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4001	<p>DIVISION ADMINISTRATOR’S OFFICE RECORDS</p> <p>Series provides a record of the administrative activities of the Division Administrator’s office such as management leadership of the Division.</p> <p>Records may include: correspondence, memos, policies, statistical and narrative reports, draft budget data, and financial reports.</p> <p>Also may include: minutes, agendas, tape recordings, and committee records.</p> <p>Records may also include constitution and by-laws, intergovernmental agreements, organization charts, draft and approved budgets, other documents preserving historical events of the Division and/or its leadership.</p>		PM	A	X	
SG4002	<p>DIVISION ADMINISTRATOR’S OFFICE COMPLAINT AND INVESTIGATION RECORDS</p> <p>Series documents complaints (that originate in the Division Administrator’s Office) brought against the Department, its policies/procedures, or its employees alleging violation of laws and/or administrative rules that govern operation of the Department and documentation of any resulting disciplinary actions.</p> <p>Records may include, but are not limited to: correspondence; description of complaint; case files; legal notices and orders; hearing records; audio recordings and transcripts; license and certificate records; exhibits; investigative reports; working notes and files; investigation committee records, minutes, and agendas; and related correspondence and documentation.</p>		AC + 7, then destroy			

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

Vital: X-Record is vital for immediate operation of the office of origin or the institution

Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, DIVISION ADMINISTRATOR’S OFFICE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG18503	ADMINISTRATION – CORRESPONDENCE - EXECUTIVE Correspondence pertaining to the programs, administration, etc. of an agency or its offices. GUIDANCE: - See also Idaho Code § 9-340E, Exemptions from Disclosure.		PM	R	X	RA –May be restricted due to personal information.
SG18504	ADMINISTRATION – CORRESPONDENCE - GENERAL Correspondence pertaining to the routine operations of an agency or its offices. GUIDANCE: - See also Idaho Code § 9-340E, Exemptions from Disclosure.		AC +3, then destroy			RA –May be restricted due to personal information.
SG18507	ADMINISTRATION – DIVISION RECORDS Series documents the activities, decisions, and reports of divisions that oversee or advise programs or functions of the agency. Records may include: Division agendas, staff-level meeting minutes, proposed budgets, reports and routine correspondence. NOTE: Division minutes and correspondence may become part of agency history that is permanent. Some materials may warrant long-term retention.		AC +3, then destroy			R

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG18508	<p>ADMINISTRATION – DONATION / GIFT RECORDS</p> <p>Records documenting the donation of archival material, artifacts, manuscripts, and publications to the agency. May include descriptive lists, transfer of publication/copyrights, restrictions.</p> <p>GUIDANCE: - See also Idaho Code § 9-340E, Exemptions from Disclosure.</p>		PM			RA –Access may be restricted due to contents of documentation, especially with artifacts, and cultural resources.
SG18512	<p>ADMINISTRATION – FORMS – RECORDS INVENTORY</p> <p>Lists of all record series used by an agency, resulting from inventory.</p>		PM	A	X	
SG18513	<p>ADMINISTRATION – MAIL AND TELECOMMUNICATIONS LISTINGS</p> <p>Any records listing address, phone numbers, fax numbers or email addresses.</p>		US, then destroy			RA –May be restricted due to personal information, security of individuals.

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Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, DIVISION ADMINISTRATOR’S OFFICE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG18514	ADMINISTRATION – MEETINGS – AGENDA AND MINUTES Official minutes and agenda of open meetings. GUIDANCE: - The archival requirement will be met by sending a copy to State Archives. - Final version - Approved formal minutes by the governing body.		PM	A	X	
SG18515	ADMINISTRATION – MEETINGS - CLOSED Certified agendas or tape recordings of closed meetings. GUIDANCE: - See also Idaho Code § 9-340E, Exemptions from Disclosure.		PM	A	X	RA –May be restricted depending on content.
SG18516	ADMINISTRATION – ORGANIZATION CHARTS Any documentation that shows program accountability.		PM	A	X	
SG18517	ADMINISTRATION – PLANS AND PLANNING RECORDS Plans, etc. relating to planning new or redefining programs, services, etc.		PM	A	X	

LEGEND:

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG18518	ADMINISTRATION – PROPOSED LEGISLATION Drafts of proposed legislation and related correspondence.		AC +3, then destroy			
SG18520	ADMINISTRATION – STRATEGIC PLANS Information resources and operational strategic plans.		PM	A	X	
SG0308	TELEPHONE MESSAGES Incoming and outgoing telephone messages.		AC +2 months, then destroy			
SG0307	TELEPHONE MESSAGE REGISTERS Message registers, logs, performance reports, daily load reports, and related or similar records.		AC +6 months, then destroy			

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4003	DIVISION ADMINISTRATOR’S OFFICE – CORRESPONDENCE Correspondence pertaining to the Division Administrator's Office and/or his management assistant. Correspondence that is not included in or directly related to another record series in this schedule.		PM	R	X	RA – Access may be restricted due to content, Social Security numbers, etc., attorney-client, or proprietary information.
SG1821	ADMINISTRATIVE - CORRESPONDENCE - GENERAL TRACKING RECORDS Any record to track incoming / outgoing mail, correspondence, etc.		AC +1, then destroy			
SG1824	ADMINISTRATIVE - DESK CALENDARS / APPOINTMENT BOOKS Document appointments, itineraries, etc. of an agency official or employee.		CE +1, then destroy			RA -While active, these records may be restricted to secure officials and employees.
SG18519	ADMINISTRATION – STAFF MEETING MINUTES Minutes from internal agency staff meeting.		PM	A	X	

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0201	CARTOGRAPHIC RECORDS Cartographic records include maps (printed, automated, and microfilmed, aerial photography, globes, models, raised relief maps, and remote sensing imagery. These records have a special place in preserving the history of Idaho and should be regularly inventoried and if in electronic form, regularly upgraded and migrated.		PM			Contact State Archivist.
SG1825	ADMINISTRATIVE – DIRECTIVES Documents that officially initiate, amend, etc. general office procedures.		PM	A	X	
SG1879	EQUIPMENT - MANUALS		LA, then destroy			
SG1827	ADMINISTRATIVE - EXECUTIVE ORDERS Documents that initiate, etc. procedures that govern an agency and its programs.		PM	A	X	

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG18154	FISCAL - SIGNATURE AUTHORIZATIONS Records authorizing an employee to initiate financial transactions for the agency.		US +FE +3, then destroy			RA -Access may be limited to protect financial systems.
SG1835	ADMINISTRATIVE - OFFICE PROCEDURES Any manual, etc. that established standard office procedures.		PM	A	X	
SG1837	ADMINISTRATIVE - PHOTOCOPIER USE LOGS AND REPORTS		AC + 1, then destroy			
SG1839	ADMINISTRATIVE - PUBLICATION DEVELOPMENT FILES Background material, drafts, original artwork etc. used in publication.		AC +3, then destroy	R		RA -Some materials may have archival value, ex: artwork.

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SG1840	ADMINISTRATIVE - REQUISITIONS FOR IN-AGENCY COPY / PRINTING SERVICE Includes word processing and data processing.		AC +1, then destroy			
SG1842	ADMINISTRATIVE – RULES, POLICIES AND PROCEDURES Manuals, guidelines, etc. that set out rules, policies, etc. that govern an institution's programs.		PM	A	X	
SG1843	ADMINISTRATIVE - SPEECHES AND PAPERS Notes or text or speeches, papers, etc. delivered in conjunction with work.		PM	A	X	
SG18526	Annual Reports Series provides a record of the primary functional activities and accomplishments of the agency for the previous year. Reports may include narratives, statistics; graphs; diagrams; member lists; descriptions of programs; events and exhibits; and annual financial statements.		PM	A	X	

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, DIVISION ADMINISTRATOR’S OFFICE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG18269	REPORTS - BIENNIAL OR ANNUAL AGENCY – NARRATIVE Narrative reports sent to the governor and legislature as required by statute.		PM	A	X	
SG18270	REPORTS - REPORTS ON PERFORMANCE MEASURES Reports on agency performance submitted to executive and legislative budget offices. GUIDANCE: - Cut-off date of July 1st of odd-numbered calendar years.		PM	A	X	
SG0631	TELEPHONE BILLS Bills which document calls made from state offices. Bills also include the number called and the length, time, and date of phone call. GUIDANCE: - Retain by agency 3 years or after audit.		AC +3, then destroy			
SG0632	TRAVEL AND TRANSPORTATION FILES Correspondence, forms, and relating records pertaining to agency travel and transportation functions, not covered elsewhere in this schedule. GUIDANCE: - Retain by agency 3 years or after audit.		AC +3, then destroy			

LEGEND:

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APPENDIX 9 – IDAHO DEPT OF HEALTH AND WELFARE, DIVISION ADMINISTRATOR’S OFFICE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1201	AGENCY COMMENDATION FILES Letters of commendation received by agency which impart important information or observations about agency programs or operations, but which do not belong in an individual's personnel file.		PM			Contact State Archivist.
SG1202	COMPLAINT / INFORMANT FILES Whistle-blower, fraud, and criminal complaints. Includes anonymous letters, complaints, criticism and suggestions, and agency replies thereto. Also includes those complaints which were the basis of an investigation or from which administrative action was taken, and those incorporated into individual personnel files.		AC +7, then destroy			

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APPENDIX 9 – DEPT OF HEALTH AND WELFARE, FACS, AGENCY SPECIFIC RECORDS, CHILDREN AND FAMILY SERVICES RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4180	CLOSED CASE FILES Hard copy files: For closed cases, except as listed in Section B below, shall be destroyed when there has been no activity for five (5) years.		AC + 5, then destroy	R		RA
SG4181	ADOPTION CASE FILES A: Children’s adoption records include records of private agency adoptions, private/independent adoptions, and relative adoptions when the IDHW has received a petition and request to either complete or assign an Adoption Finalization Report to the Court, and Interstate Compact on the Placement of Children (ICPC) cases where the child’s adoption occurs in the state of Idaho. All case records regarding a child’s adoption including the permanent adoption record, the child protection record, the adoption assistance record, and any other IDHW records pertaining to the child shall be kept permanently. After the court finalizes a child’s adoption, regional offices shall send all adoption records pertaining to the child (private and public) to Central Office Adoption Unit for permanent storage in the state data base. After scanning procedures have been implemented, all adoption records will be scanned into FOCUS by the regions for permanent storage. B: The adoption file and associated child protection file for any Indian child subject to ICWA is kept permanently and made available for review by: (1) the Secretary of the Interior for evidence of compliance by ICWA or (2) the Indian child, having reached the age of 18, for information regarding his/her tribal affiliation or other information necessary to protect any rights flowing from the individual’s tribal relationship (IDAPA 16.06.01.844). GUIDANCE: After scanning, the permanent, paper records will be sent to State Archives for permanent storage.		PM PM	A A	X X	RA RA

LEGEND:
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APPENDIX 9 – DEPT OF HEALTH AND WELFARE, FACS, AGENCY SPECIFIC RECORDS, CHILDREN AND FAMILY SERVICES RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4182	<p>ADOPTIVE FAMILY HOME STUDY RECORDS</p> <p>A: Information regarding an adoptive family's home-study record shall be added to the adopted child's permanent adoption record and sent to the Central Office Adoption Unit for permanent storage.</p> <p>GUIDANCE: After scanning, the permanent, paper records will be sent to State Archives for permanent storage.</p> <p>B: Adoptive family home studies that have never been used for an adoptive placement of a child shall be destroyed after five (5) years with no activity.</p>		<p>PM</p> <p>AC +5, then destroy</p>	<p>A</p> <p>R</p>	<p>X</p>	<p>RA</p>
SG4183	<p>CHILDREN'S GUARDIANSHIP RECORDS</p> <p>All records regarding a child who has been placed in the Department's guardianship, and not adopted, shall be maintained permanently. This includes both children for whom another legal guardian is appointed and children who remain in the Department's guardianship until they turn 18 years of age. Files shall be sent to the Central Office Adoptions Unit as soon as the child emancipates from Department guardianship or when the court appoints a different legal guardian for the child. After scanning procedures have been implemented, the regions will scan all guardianship records into FOCUS for permanent storage.</p> <p>GUIDANCE: After scanning, the permanent, paper records will be sent to State Archives for permanent storage.</p>		<p>PM</p>	<p>A</p>	<p>X</p>	<p>RA</p>

LEGEND:

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APPENDIX 9 – DEPT OF HEALTH AND WELFARE, FACS, AGENCY SPECIFIC RECORDS, CHILDREN AND FAMILY SERVICES RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4184	CHILD PROTECTION CASES DISPOSITIONED AS “SUBSTANTIATED” OR “VALID” Shall be retained permanently to serve as information for Administrative or Exemption Hearings.		PM	A	X	RA
SG4185	CHILD PROTECTION CENTRAL REGISTRY Names shall remain permanently on the electronic Central Registry unless: * A review by the Regional Program Manager finds the case evidence does not meet the criteria of a “Substantiated” or “Valid” disposition; * An Administrative Review Hearing or an Exemption Review Hearing overturns the disposition; or * An individual successfully petitions to have his/her name removed according to the procedures found in IDAPA 16.06.01.566.		PM	A	X	RA
SG4186	INTERSTATE COMPACT ON THE PLACEMENT OF CHILDREN (ICPC) RECORDS When Idaho is the receiving state, case records including foster care, relative placement, residential placement or juvenile corrections cases regarding an ICPC shall be destroyed after the case is closed and has no activity for five (5) years.		AC + 5, then destroy	R		

LEGEND:

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APPENDIX 9 – DEPT OF HEALTH AND WELFARE, FACS, AGENCY SPECIFIC RECORDS, CHILDREN AND FAMILY SERVICES RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4187	<p>ELECTRONIC FILES</p> <p>A: Cases without a removal episode: child protection referrals (presenting issues), assessments, case dispositions, and accompanying narratives must not be purged. Therefore, all electronic information related to child protection referrals will be retained in FOCUS.</p> <p>B: All other electronic information shall be deleted when a person has been in the electronic system for five (5) years when there has been no case related activity recorded for the person.</p> <p>C: Cases with a removal episode: Consistent with AFCARS requirements, cases with a removal episode must not be purged. Therefore, all electronic information related to a child with a removal episode will be retained in FOCUS.</p>		<p>PM</p> <p>AC + 5, then destroy</p> <p>PM</p>	<p>A</p> <p>R</p> <p>A</p>	<p>X</p> <p></p> <p>X</p>	<p>RA</p> <p></p> <p>RA</p>

LEGEND:

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APPENDIX 9 – DEPT OF HEALTH AND WELFARE, FACS, AGENCY SPECIFIC RECORDS, CHILDREN AND FAMILY SERVICES RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4188	<p>MANNER OF RECORD DESTRUCTION FOR CHILDREN AND FAMILY SERVICES</p> <p>A: Case Records: After the retention periods specified above, programs shall destroy records by burning or shredding in keeping with the confidential nature of the record.</p> <p>B: Audio/Visual Records: After the retention period has been met, audio/visual records shall be destroyed by the Department of a contractor that specializes in secure, confidential, full-service data destruction. This requirement can be met if a region has access to a machine that meets secure destruction specifications such as a disintegrator, grinder, or audio/visual shredder.</p> <p>C: Child Protection Audio/Visual materials: Audio/video recordings shall be destroyed five (5) years after a case is closed and has no activity. Exceptions include audio/visual records related to reports of sexual abuse. Audio visual materials related to reports of sexual abuse may be purged 23 years from the child of concern’s date of birth.</p>		<p>PM or until US</p> <p>AC + 5</p> <p>After DOB + 23</p>	<p></p> <p>R</p> <p>R</p>		

LEGEND:

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APPENDIX 9 – DEPT OF HEALTH AND WELFARE, FACS, AGENCY SPECIFIC RECORDS, DEVELOPMENTAL DISABILITIES RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4189	DEVELOPMENTAL DISABILITIES COMMITMENT RECORDS Records of court-ordered commitment evaluations, commitment orders, and annual court reports on commitments shall be retained for five (5) years past the death of the committed person or termination of the commitment and then destroyed.		After DOD + 5	R		
SG4190	DEVELOPMENTAL DISABILITIES GUARDIANSHIP RECORDS Records of developmental disabilities guardianships including evaluations, recommendations to the court, and court-appointment of guardians shall be retained for five (5) years past the death of the ward or termination of the guardianship and then destroyed.		After DOD + 5	R		
SG4191	INTERSTATE COMPACT ON THE PLACEMENT OF ADULTS WITH MENTAL ILLNESS AND/OR DEVELOPMENTAL DISABILITIES A: Case records of clients who are committed to the custody of the Attorney General of the Federal Bureau of Prisons through the Interstate Compact on the Placement of Adults with Mental Illness and/or Developmental Disabilities shall be maintained as long as the client is in the Federal Bureau of Prisons' custody. B: Other case records regarding Interstate Compact on the Placement of Adults with Mental Illness and/or Developmental Disabilities shall be destroyed after the case is closed and has no activity for five (5) years.		As long as in custody AC + 5	R R		

LEGEND:

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APPENDIX 9 – DEPT OF HEALTH AND WELFARE, FACS, AGENCY SPECIFIC RECORDS, DEVELOPMENTAL DISABILITIES RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4192	<p>MANNER OF RECORD DESTRUCTION FOR DEVELOPMENTAL DISABILITIES</p> <p>A: Case Records: After the retention periods specified above, programs shall destroy records by burning or shredding in keeping with the confidential nature of their contents.</p> <p>B: Audio/Visual Records: After the retention period has been met, audio/visual records shall be destroyed by a business that specializes in secure, confidential, full-service data destruction. This requirement can also be met if a region has access to a machine that meets secure destruction specifications such as a disintegrator, grinder, or audio/visual shredder.</p>		<p>PM or until US</p> <p>AC + 5</p>			

LEGEND:
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APPENDIX 9 – DEPT OF HEALTH AND WELFARE, FACS, AGENCY SPECIFIC RECORDS, INFANT TODDLER RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4193	<p>INFANT TODDLER RECORDS</p> <p>Parents or guardians of the child who was enrolled in the Infant/Toddler Program must be given written notice at exit from early intervention services that in six years from Program exit, the child’s records, including any audio/visual materials, will be destroyed. Families will be given an opportunity to request a copy of existing records as part of Program exit activities and will be informed that no additional notice will be provided prior to destruction of the child’s records. Prior to providing families their child’s records, they will be reviewed, and if they contain any restricted child protection information, the record will be redacted as necessary and according to the policies of the Division of Family and Community Services. Records for Infant/Toddler Program participants shall be destroyed after the case is closed and has no activity for six (6) years.</p>		AC + 6	R		
SG4194	<p>MANNER OF RECORD DESTRUCTION FOR INFANT TODDLER</p> <p>A: Case Records: After the retention periods specified above, programs shall destroy records by burning or shredding in keeping with the confidential nature of their contents.</p> <p>B: Electronic Records: Electronic Records will not be destroyed, but will be maintained as archived records within the Infant/Toddler Program Web system.</p> <p>C: Audio/Visual Records: After the retention period has been met, audio/visual records shall be destroyed by the Department or a contracted entity that specializes in secure, confidential, full-service data destruction. This requirement can be met if a region has access to a machine that meets secure destruction specifications such as a disintegrator, grinder, or audio/visual shredder.</p>		<p>PM or until US</p> <p>PM</p> <p>AC + 5</p>			

LEGEND:
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APPENDIX 9 – DEPT OF HEALTH AND WELFARE, FACS, AGENCY SPECIFIC RECORDS, NAVIGATION SERVICES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4195	NAVIGATION SERVICES Information regarding a family's use of Emergency Assistance and/or Navigation Services (such as Career Enhancement, Kin Care funds) records (both electronic and hard copy) shall be destroyed after five (5) years with no activity.		AC + 5	R		
SG4196	MANNER OF RECORD DESTRUCTION FOR NAVIGATION A: Case Records: After the retention periods specified above, programs shall destroy records by burning or shredding in keeping with the confidential nature of their contents. B: Audio/Visual Records: After the retention period has been met, audio/visual records shall be destroyed by a business that specializes in secure, confidential, full-service data destruction. This requirement can also be met if a region has access to a machine that meets secure destruction specifications such as a disintegrator, grinder, or audio/visual shredder.		PM or until US AC + 5	R		

LEGEND:
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APPENDIX 9 – DEPT OF HEALTH AND WELFARE, FACS, AGENCY SPECIFIC RECORDS, ADMINISTRATIVE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4197	<p>APPLICATION FILES</p> <p>Documents pertaining to the application process and licensing history of organizations regulated by IDAPA 16.06.02 Rules Governing Child Care Licensing. Child care licensing records include Children’s Residential Care Facilities, Children’s Agencies, Children’s Therapeutic Outdoor Programs, Foster Care, and Day Care. Records may include, but are not limited to license and certificate records, applications, inspection reports, background investigations, staff resumes, reports, lists of licensed establishments, and related correspondence and documentation.</p>		AC + 5	R		
SG4198	<p>FACILITY FILES</p> <p>Documents of complaints brought against Day Care, Children’s Residential Care Facilities, Children’s Agencies, and Children’s Therapeutic Outdoor Programs alleging violation of laws and/or administrative rules that govern operation of the program. Records may include but are not limited to correspondence, description of complaint, case files, legal notices and orders, hearing records, audio recordings and transcripts, license and certificate records, exhibits, investigative reports, working notes and files, investigation committee records, minutes, and agendas, and related correspondence and documentation.</p> <p>Consistent with other FACS records, administrative records shall be kept for five (5) years after a case is closed and has no activity and then destroyed.</p>		AC + 5	R		

LEGEND:

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APPENDIX 9 – DEPT OF HEALTH AND WELFARE, FACS, AGENCY SPECIFIC RECORDS, ADMINISTRATIVE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4199	<p>MANNER OF RECORD DESTRUCTION FOR CHILD CARE LICENSING</p> <p>A: Case Records: After the five (5) year retention period when there has been no case related activity recorded for the person after the case is closed, programs shall destroy records by burning or shredding in keeping with the confidential nature of their contents.</p> <p>B: Audio/Visual Records: After five (5) years when there has been no case related activity recorded for the person after the case is closed, audio/visual and electronic records shall be destroyed by a business that specializes in secure, confidential, full-service data destruction. This requirement can also be met if a region has access to a machine that meets secure destruction specifications such as a disintegrator, grinder, or audio/visual shredder.</p> <p>C: Electronic files: All electronic information shall be deleted when a person has been in the electronic system for five (5) years when there has been no case related activity recorded for the person.</p>		<p>PM or until US</p> <p>AC + 5</p> <p>AC + 5</p>			

LEGEND:
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APPENDIX 9 – DEPT OF HEALTH AND WELFARE, FACS, AGENCY SPECIFIC RECORDS, SOUTHWEST IDAHO TREATMENT CENTER

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4200	<p>INSTITUTIONAL MEDICAL RECORDS</p> <p>FACS institution, Southwest Treatment Center, shall maintain a separate policy for institutional records. After purging the record, the institution shall maintain the remaining permanent record in whatever media form it chooses, with the institution bearing the financial cost of its choice of storage media. The institution shall outline in its policy and procedures how it will maintain the permanent medical records following purging.</p>		PM			

LEGEND:
Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded
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APPENDIX 9 – DEPT OF HEALTH AND WELFARE, FACS, AGENCY SPECIFIC RECORDS, PROCEDURE

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4201	AUTHORIZATION FOR PURGING OR DESTROYING RECORDS A program manager, field office supervisor, or a designee shall authorize destruction or deletion of case records for programs.		PM			
SG4202	SCHEDULE FOR DESTROYING RECORDS Records shall be destroyed according to an established schedule. No record or partial record shall be destroyed out of the order of the established schedule.		PM			
SG4203	LIST OF DESTROYED, DELETED, OR PURGED RECORDS DHW programs and state institutions shall maintain a list of case and institutional medical records which have been purged, destroyed, or deleted and the dates they were purged, destroyed, or deleted.		PM			

LEGEND:

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APPENDIX 9 – DEPT OF HEALTH AND WELFARE, FACS, AGENCY SPECIFIC RECORDS, OUTCOMES AND MONITORING

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4204	<p>OUTCOMES AND MONITORING</p> <p>DHW programs and state institutions shall monitor records retention practices periodically as part of existing, ongoing program and institutional reviews. This policy will be re-evaluated annually for the first three (3) years following its implementation and as needed thereafter.</p>		PM			

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

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Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – DEPT OF HEALTH AND WELFARE, FACS, AGENCY SPECIFIC RECORDS, REFERENCES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4205	APPLICABLE STATUTES, RULES, OTHER POLICY, DHW STRATEGIC PLAN GOAL DHW Strategic Plan Goal 5: Objective 4 – Technology: Implement business systems that provide the proper level of information at the proper level of the organization and are aligned with business goals.		PM or until US			
SG4206	CHILD WELFARE – RULES GOVERNING FAMILY AND CHILDREN'S SERVICES 16-1601.563.02 Central Registry; 16-1602.060 Family Case Record; Indian Child Welfare Act 245-U.S.C. 1912©, 1915(e), 1917, 1951; children's Mental Health; Adoption; Guardianship.		PM or until US			
SG4207	INFANT/TODDLER PROGRAM Federal Educational Rights and Privacy Act, 34CFR99.		PM or until US			
SG4208	INTERSTATE COMPACT ON ADULTS WITH MENTAL ILLNESS AND/OR DEVELOPMENTAL DISABILITIES 18 U.S.C. §4243 and 18 U.S.C. §4246.		PM or until US			

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

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APPENDIX 9 – DEPT OF HEALTH AND WELFARE, FACS, AGENCY SPECIFIC RECORDS, REFERENCES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG4209	MEDICAL RECORDS Rules and Minimum Standards for Hospitals in Idaho 16-0314.360.03, .07, 12; Idaho Code §39-1394 Patient Care Records.		PM or until US			
SG4210	PUBLIC RECORDS Use and Disclosure of Department Records IDAPA 16.05.01, §.050 – 254.		PM or until US			

LEGEND:

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APPENDIX 9 – SOUTHWEST IDAHO TREATMENT CENTER, ADMINISTRATIVE GENERAL

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2501	MASTER RECORD – ADMISSION Pre-Admission Profile All paperwork submitted prior to admission from other facilities (Note: Admission paperwork other than that directly required as part of the Pre-Admission Profile)	SWITC	AC + 8 then destroy	R	X	Transfer to State Records Center 3 years after discharge or death - destroy five years after transfer
SG2548	GENERAL ADMINISTRATIVE • Abuse/neglect investigation files	SWITC	AV + 10 years then destroy	R		
SG2549	GENERAL ADMINISTRATIVE • Client purchasing requests, P-card transmittals, and purchase orders for purchases of client items	SWITC	AV + 8 years then destroy	R		
SG2550	GENERAL ADMINISTRATIVE • Copies of any records that have originals stored elsewhere unless otherwise listed on this form	SWITC	AV + 1 year then destroy	R		

LEGEND:

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APPENDIX 9 – SOUTHWEST IDAHO TREATMENT CENTER, ADMINISTRATIVE GENERAL

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2551	GENERAL ADMINISTRATIVE <ul style="list-style-type: none"> Correspondence, routine 	SWITC	AV + 3 years then destroy	R		
SG2552	GENERAL ADMINISTRATIVE <ul style="list-style-type: none"> Evaluator appointments 	SWITC	AC	R		Until expired
SG2553	GENERAL ADMINISTRATIVE <ul style="list-style-type: none"> Grievance: Client/Guardian 	SWITC	AV +3 years then destroy	R		
SG2554	GENERAL ADMINISTRATIVE <ul style="list-style-type: none"> Historical documents: written histories; newspaper articles; facility photographs that depict historical information; etc. 	SWITC	PM - 10 years then transfer to State Historical Society	A		

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

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APPENDIX 9 – SOUTHWEST IDAHO TREATMENT CENTER, ADMINISTRATIVE GENERAL

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2555	GENERAL ADMINISTRATIVE <ul style="list-style-type: none"> Human Rights Committee Meeting Minutes 	SWITC	AV + 8 years then destroy	R		
SG2556	GENERAL ADMINISTRATIVE <ul style="list-style-type: none"> In-service and training sheets 	SWITC	US	R		
SG2557	GENERAL ADMINISTRATIVE <ul style="list-style-type: none"> Key check out 	SWITC	AV	R		
SG2558	GENERAL ADMINISTRATIVE <ul style="list-style-type: none"> Legal documents Licensure surveys, Fire and Life Safety inspections, audits, and other surveys and inspections Medicaid reimbursement reports 	SWITC	PM - 10 years then transfer to State Record Center	A		

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

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APPENDIX 9 – SOUTHWEST IDAHO TREATMENT CENTER, ADMINISTRATIVE GENERAL

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2559	GENERAL ADMINISTRATIVE • Minutes: routine	SWITC	AV + 1 year then destroy	R		
SG2560	GENERAL ADMINISTRATIVE • Minutes: Advisory Board	SWITC	AV + 8 years then destroy	R		
SG2561	GENERAL ADMINISTRATIVE • Miscellaneous documentation such as visitor registration, parent's cottage registration, building supply order forms, travel reimbursement • Mock surveys	SWITC	AV + 1 year then destroy	R		
SG2562	GENERAL ADMINISTRATIVE • Performance improvement and other facility reports (except trends)	SWITC	AV + 10 years then destroy	R		

LEGEND:

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APPENDIX 9 – SOUTHWEST IDAHO TREATMENT CENTER, ADMINISTRATIVE GENERAL

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2563	GENERAL ADMINISTRATIVE <ul style="list-style-type: none"> Policies and Procedures 	SWITC	AV +8 years then destroy	R	X	
SG2564	GENERAL ADMINISTRATIVE <ul style="list-style-type: none"> Property records, feasibility studies, maps, etc. 	SWITC	PM	A	X	
SG2565	GENERAL ADMINISTRATIVE <ul style="list-style-type: none"> Reference and information such as the Communicator, E-news, etc. 	SWITC	AV + 3 years then destroy	R		
SG2566	GENERAL ADMINISTRATIVE <ul style="list-style-type: none"> Release of liability 	SWITC	US or until expired then destroy	R		

LEGEND:

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APPENDIX 9 – SOUTHWEST IDAHO TREATMENT CENTER, ADMINISTRATIVE GENERAL

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2567	GENERAL ADMINISTRATIVE <ul style="list-style-type: none"> Schedules, scenarios, communication logs, temperature checks (items that might need reviewed during a survey) 	SWITC	AV + 2 years then destroy	R		
SG2568	GENERAL ADMINISTRATIVE <ul style="list-style-type: none"> Significant Event Reports 	SWITC	AV + 3 years then destroy	R	X	
SG2569	GENERAL ADMINISTRATIVE <ul style="list-style-type: none"> Sterilization Records 	SWITC	AV + 10 years then PM – transfer to SRC	A		
SG2570	GENERAL ADMINISTRATIVE <ul style="list-style-type: none"> Strategic planning 	SWITC	Av + 10 years then PM – transfer to SRC	A		

LEGEND:

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APPENDIX 9 – SOUTHWEST IDAHO TREATMENT CENTER, ADMINISTRATIVE GENERAL

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2571	GENERAL ADMINISTRATIVE <ul style="list-style-type: none"> Studies of the campus 	SWITC	AV + 10 years then PM – Transfer to SRC	A		
SG2572	GENERAL ADMINISTRATIVE <ul style="list-style-type: none"> Trend data and reports 	SWITC	AV + 10 years then PM – Transfer to SRC	A		
SG2573	GENERAL ADMINISTRATIVE <ul style="list-style-type: none"> Vehicle registration 	SWITC	US	R		

LEGEND:

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APPENDIX 9 – SOUTHWEST IDAHO TREATMENT CENTER, FACILITY MANAGEMENT

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2537	MAINTENANCE <ul style="list-style-type: none"> Ecolab inspection reports Fire Drill log, fire alarm battery tests, generator testing forms, emergency lighting test 	SWITC	AV + 3 years then destroy	R		
SG2538	MAINTENANCE <ul style="list-style-type: none"> Inspection and testing forms related to fire protection systems 	SWITC	AV + 8 years then destroy	R		
SG2539	MAINTENANCE <ul style="list-style-type: none"> Sanitary surveys and written reports and summaries of sanitary surveys of the water quality Chemical analysis and lab results of water quality 	SWITC	AV + 10 years then destroy	R		
SG2540	MAINTENANCE <ul style="list-style-type: none"> Microbiological and turbidity analyses and lab results of these analyses Records related to a variance or exemption which has been granted 	SWITC	AV + 5 years then destroy	R		

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

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APPENDIX 9 – SOUTHWEST IDAHO TREATMENT CENTER, FACILITY MANAGEMENT

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2541	Maintenance <ul style="list-style-type: none"> • Actions taken to correct violations of primary drinking water regulations and public notices that have been issued 	SWITC	AV + 3 years then destroy	R		

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

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APPENDIX 9 – SOUTHWEST IDAHO TREATMENT CENTER, HUMAN RESOURCES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2516	MASTER RECORD – PERSONNEL PAY I-9s, W-2s, Performance Corrective Actions, Time sheets, etc.	SWITC	AC +8 then destroy	R		Transfer to State Records Center 3 years after discharge or death destroy 5 years after transfer
SG2532	PROGRAM CHART – PERSONNEL PAY I-9s, W-2s, Performance Corrective Actions, Timesheets, etc. "For Internal Use Only"		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record after yearly update received

LEGEND:

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APPENDIX 9 – SOUTHWEST IDAHO TREATMENT CENTER, LEGAL

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2502	MASTER RECORD – LEGAL Birth Cert./SS NO. Birth certificate (Original at Vital Statistics) Social Security/Medicaid/Medicare Cards	SWITC	AC +8 then destroy	R	X	Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer
SG2503	MASTER RECORD – LEGAL Consents Written informed consent Records disclosure Record requests	SWITC	AC +8 then destroy	R	X	Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer
SG2504	MASTER RECORD – LEGAL Court Court Commitment Papers Guardianship Appointments Guardianship Reports Sex offender registration	SWITC	AC +8 then destroy	R	X	Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer

LEGEND:

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APPENDIX 9 – SOUTHWEST IDAHO TREATMENT CENTER, LEGAL

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2505	MASTER RECORD – LEGAL Guardian info/Rep info <i>(most recent copy only)</i> Guardian/Parent Notification Info	SWITC	AC +8 then destroy	R		Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer
SG2506	MASTER RECORD – LEGAL ID info <i>(most recent copy only)</i> Client Photo and ID (Original at DMV) Client Summary Client Rights and Responsibilities	SWITC	AC +8 then destroy	R		Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer
SG2507	MASTER RECORD – LEGAL End of Life Code Status Form Death Certificate (Original at Vital Statistics) Funeral/burial documentation	SWITC	AC +8 then destroy	R	X	Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer

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Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2508	MASTER RECORD – PCP Person Centered Program Plan (including BSP and discontinued programs) Progress notes, CSU Manager Monthly Narrative	SWITC	AC +8 then destroy	R	X	Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer

LEGEND:
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APPENDIX 9 – SOUTHWEST IDAHO TREATMENT CENTER, MEDICAL

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2509	MASTER RECORD – SCHOOL AND OTHER NON-MEDICAL SERVICE PROVIDERS Individual Education Plans, Individual Program Plans, progress reports, etc.	SWITC	Destroy 3 years after generation	R		
SG2510	MASTER RECORD – HISTORIES, ASSESSMENTS, AND EVALUATIONS All standardized assessments and tests completed for the purpose of diagnosis, competency, functional status or eligibility. All client histories which include a description of the status/history of a client including family history and sex offender histories but excluding physician history and physical. All Intervention Strategy Team documentation	SWITC	AC +8 then destroy	R		Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer
SG2511	MASTER RECORD – OTHER INTERDISCIPLINARY TEAM ASSESSMENTS, REPORTS, AND SCALES Assessments, reports, and scales completed for the purpose of client plan development and progress reports. Includes reports from all disciplines such as clinician, recreation, social services, speech and language, vocational services, and life skills services; does not include nursing or physician reports	SWITC	AC +8 then destroy	R		Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer

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APPENDIX 9 – SOUTHWEST IDAHO TREATMENT CENTER, MEDICAL

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2512	MASTER RECORD – NURSING Immunization Record Allergy and Sensitivity Record Monitoring/Rating scales including blood glucose, DISCUS, MOSES, menses, metabolic monitoring, breast exam form, cholesterol risk worksheet, seizure records, etc. Nursing charting, such as OPFR documentation, monthly reviews, quarterly reviews	SWITC	AC +8 then destroy	R	X	Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer
SG2513	MASTER RECORD – PHYSICIAN & PSYCHIATRY History and Physical Major Medical Summary Physicians Orders and Progress Notes Quarterly Recaps Psychoactive Drug Review Clinic reports, evaluation, and consultation reports	SWITC	AC +8 then destroy	R	X	Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer
SG2514	MASTER RECORD – PHARMACY Drug Regimen Reviews, medication administration records	SWITC	AC +8 then destroy	R	X	Transfer to State Records Center 3 years after discharge or death- destroy five years after transfer

LEGEND:

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APPENDIX 9 – SOUTHWEST IDAHO TREATMENT CENTER, MEDICAL

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2515	MASTER RECORD – LAB / X-RAY Diagnostic tests, lab reports, pathology reports, MRI/CT, bone density reports, video fluoroscopy, etc.	SWITC	AC +8 then destroy	R		Transfer to State Records Center 3 years after discharge or death destroy five years after transfer
SG2517	MASTER RECORD – CORRESPONDENCE All letters or email correspondences	SWITC	Destroy 3 years after generation	R		
SG2518	MEDICAL CHART – ID INFORMATION Code Status "For Internal Use Only"	SWITC	See SWITC Master Record for Retention Schedule	R		Transfer to SWITC Master Record upon generation of new assessment /replacement document
SG2519	MEDICAL CHART – ID INFORMATION Client Summary Guardian/Representative Notification, SWITC Form #4102 Client Photo and ID "For Internal Use Only"	SWITC	See SWITC Master Record for Retention Schedule	R		Transfer to SWITC Master Record after yearly update received

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APPENDIX 9 – SOUTHWEST IDAHO TREATMENT CENTER, MEDICAL

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2520	<p>MEDICAL CHART – NURSING</p> <p>Monitoring/Rating scales including monthly reviews, quarterly reviews, DISCUS, MOSES, Immunization record, blood glucose, menses, metabolic monitoring, breast exam form, cholesterol risk worksheet, etc.</p> <p style="text-align: center;">“For Internal Use Only”</p>		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record upon generation of new assessment /replacement document
SG2521	<p>MEDICAL CHART – NURSING</p> <p>OPFR Seizure Record</p> <p style="text-align: center;">“For Internal Use Only”</p>		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record after one year
SG2522	<p>MEDICAL CHART – PHYSICIAN & PSYCHIATRY</p> <p>Physicians Orders and Progress Notes Quarterly Recaps Allergy and Sensitivity Record Major Medical Summary History and Physical Psychoactive Drug Review Clinic reports, evaluation, and consultation reports</p> <p style="text-align: center;">“For Internal Use Only”</p>		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record after yearly update received

LEGEND:

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APPENDIX 9 – SOUTHWEST IDAHO TREATMENT CENTER, MEDICAL

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2523	MEDICAL CHART – PHARMACY Drug Regimen Reviews, medication administration records "For Internal Use Only"		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record after yearly update received
SG2524	MEDICAL CHART – LAB / X-RAY Diagnostic tests, lab reports, pathology reports, MRI/CT, bone density reports, video fluoroscopy, etc. "For Internal Use Only"		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record after one year
SG2525	MEDICAL CHART – HOSPITAL Hospital reports, including scheduled and emergency admissions. "For Internal Use Only"		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record after one year
SG2526	PROGRAM CHART – ID INFORMATION Client Summary Guardian/Representative Notification #4107 Client Photo and ID "For Internal Use Only"		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record after yearly update received

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

Vital: X-Record is vital for immediate operation of the office of origin or the institution

Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – SOUTHWEST IDAHO TREATMENT CENTER, MEDICAL

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2527	PROGRAM CHART – PCP Person Centered Program Plan (including BSP, and discontinued programs) "For Internal Use Only"		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record after yearly update received
SG2528	PROGRAM CHART – DATA/SUMMARY Progress notes, CSU Manager Monthly Narrative "For Internal Use Only"		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record after yearly update received
SG2529	PROGRAM CHART – SCHOOL AND OTHER NON-MEDICAL SERVICE PROVIDERS Individual Education Plans, Individual Program Plans, progress reports, etc "For Internal Use Only"		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record after yearly update received
SG2530	PROGRAM CHART – HISTORIES, ASSESSMENTS, AND EVALUATIONS All standardized assessments and tests completed for the purpose of diagnosis, competency, functional status or eligibility. All intervention strategy team documentation. All client histories which include a description of the status/history of a client including family history and sex offender histories but excluding physician history and physical "For Internal Use Only"		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record upon generation of new assessment.

LEGEND:

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APPENDIX 9 – SOUTHWEST IDAHO TREATMENT CENTER, MEDICAL

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2531	PROGRAM CHART – OTHER INTERDISCIPLINARY TEAM ASSESSMENTS, REPORTS, AND SCALES Assessments, reports, and scales completed for the purpose of client plan development and progress reports. Includes reports from all disciplines such as clinician, recreation, social services, speech and language, vocational services, and life skills services; does not include nursing or physician reports "For Internal Use Only"		See SWITC Master Record for Retention Schedule			Transfer to SWITC Master Record upon generation of new assessment.
SG2533	CLIENT BOOK <ul style="list-style-type: none"> • Information Sheet • Temporary Information • BRF Definitions • Activity Schedule • Other Programs • Mealtime Guidelines (if needed) • Behavior Support Plans (BSPs) 	SWITC	US	R		
SG2534	CLIENT BOOK – ACTIVE TREATMENT RAW DATA <ul style="list-style-type: none"> • Behavior Reporting Forms (BRFs) • Restraint Analysis Forms (if needed) • Client Information Logs (CILs) • Client Skill Development Programs – Data Sheets/Tracking Sheets "For Internal Use Only"		See SWITC Client Overflow Files for Retention Schedule			Transfer to Client Overflow Files 2 months after generation
SG2535	CLIENT BOOK I & O Forms (if needed) in back pocket	SWITC	AV + Two months then destroy	R		

LEGEND:

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APPENDIX 9 – SOUTHWEST IDAHO TREATMENT CENTER, MEDICAL

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2536	CLIENT OVERFLOW FILES – ACTIVE TREATMENT RAW DATA <ul style="list-style-type: none"> Behavior Reporting Forms Restraint Analysis Forms (if needed) Client Information Logs Client Skill Development Programs – Data Sheets/Tracking Sheets/Symptom Tracking Sheets Rating Scales (to include periodic assessments used to evaluate a client’s mental health) Sleep Data Collection Forms Enhanced Supervision Forms/Room Search/Body Search Forms Non Contingent Mechanical Restraint Tracking Forms Supplemental Symptom Tracking Forms 	SWITC	AV - 2 years then Destroy	R		
SG2542	NURSING/MEDICAL/PHARMACY <ul style="list-style-type: none"> Med-Co Files (contain approvals or denials for medication) 	SWITC	AV + 3 years then destroy	R		
SG2543	NURSING/MEDICAL/PHARMACY <ul style="list-style-type: none"> Medical device proposal/approval 	SWITC	AV + 1 year then destroy	R		
SG2544	NURSING/MEDICAL/PHARMACY <ul style="list-style-type: none"> Psychoactive Drug Report 	SWITC	AV + 10 years then destroy	R		

LEGEND:

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Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

Vital: X-Record is vital for immediate operation of the office of origin or the institution

Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – SOUTHWEST IDAHO TREATMENT CENTER, MEDICAL

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG2545	RECORDS MANAGEMENT <ul style="list-style-type: none"> Admission/Discharge/Transfer/Death Report 	SWITC	AV + 3 years then destroy	R		
SG2546	RECORDS MANAGEMENT <ul style="list-style-type: none"> Census reports 	SWITC	AV + 8 years then destroy	R		
SG2547	DIETARY <ul style="list-style-type: none"> Menus 	SWITC	AV + 3 years then destroy	R	X	

LEGEND:
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