

Records Retention / Disposition Authorization - Functional
Public Health Madison & Dane County (PHMDC)
M03-77

Program Description:

PHMDC – working with the community to enhance, protect, and promote the health of the environment and the well-being of all people.

Laws & Requirements:

HIPAA-CFR 45 Part 164, Wis. Stat. § 146.82-146.83, Madison General Ordinance 7.0

Electronic Systems:

Various software systems and state/federal databases

Official Records & Copies:

- **Official Record:** A complete, final, and authorized version of a record, often containing an original signature or seal.
- **Working Copies:** Staff may generally destroy rough draft materials that are subsequently finalized and maintained as part of the official record. However, staff should retain significant drafts when needed to document the decision-making process within the official record.
- **Reference or Convenience Copies:** Staff may maintain duplicate or working copies of records described in this schedule for reference and/or convenience purposes. Copies may be retained for as long as needed, but they should not be kept longer than the time specified in the approved RDA for the official record in this schedule. Do not maintain **unnecessary** duplicate copies. When retained for convenience or reference only, copies are considered non-records under Wis. Stat. § 16.61(2). Do **not** send copies to storage or retain them for longer than the retention periods specified for the official copy.

Confidentiality of Records:

Most records are not confidential and are open to public disclosure, however, there are exceptions. This retention schedule will identify any record series that may contain information required by law to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute, administrative rule, or other legal authority that so requires. If in doubt as to whether or not a specific record, or content in that record, is confidential, check with your agency legal counsel. A record series should be identified as confidential even if not all records in the series contain confidential information and not all parts of records covered by the series are confidential.

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Name of Agency Program Contact or Records Officer: (Provide Name, Telephone and Email)

Melanie Jicha, (608) 219-8604, mjicha@publichealthmdc.com and John Hausbeck, (608) 243-0331, jhausbeck@publichealthmdc.com

Additional Contact name and telephone number/email address

Leslie Starczewski, lstarczewski@cityofmadison.com, 608-266-4454

Approval Signatures

Agency Program Manager

Sandra Bogar

Sandra Bogar (Nov 1, 2023 12:49 CDT)

Date (mm/dd/ccyy)

Nov 1, 2023

Agency Records Office

Melanie Jicha

Date (mm/dd/ccyy)

Oct 30, 2023

Additional Signature

Leslie Starczewski

10/26/2023

Additional Signature

PUBLIC RECORDS BOARD APPROVAL: Authorization is contingent on restrictions to record destruction contained in Wis. Stat. § 19.35(5), Open Records Law, and that no records are destroyed if litigation or audit involving these records has commenced or is anticipated.

State Archivist

Alynn M. Hildebrand

Date (mm/dd/ccyy)

11/21/23

PRB Executive Secretary

Tom Breuninger

Date (mm/dd/ccyy)

11/21/23

Approval subject to 10-year sunset per Wis. Stat. § 16.61(4)(c). Action required before: November 2033

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11. PHMDC									
PH000001 Amended	ENVIRONMENTAL LAB Laboratory records including raw data, instrument printouts, log-in, chain-of-custody, QC records, on-site audit reports and laboratory reports. The records are pertinent to landfill (may have legacy data), groundwater, lakes and outfalls, and private well and non-storm water programs. Private well laboratory reports are kept confidential as they may relate to medical information of the well owner.	2000	Paper, Electronic	Y	N	HIPAA-CFR 45 Part 164 Wis. Stat. §§ 146.82-146.83			FIS+7 Years Destroy- Confidential
PH000003 Renewal	DENTAL Documentation related to the Health Department's dental clinics for adults and children. Includes client and household information, referrals, and dates of treatment.	2000	Electronic	Y	N	HIPAA-CFR 45 Part 164			FIS+7 Years Destroy- Confidential
PH000004 Amended	PATIENT RECORDS Medical documents regarding clients, their household members and contacts who were referred for and/or received public health services in clinic or home visits, or who were contacted by public health. *Perinatal Care files include all family members in one file. Includes, but not limited to, Well Woman, Sexual Reproductive Health, Perinatal Care, Nurse Family Partnership.	1985	Paper, Electronic	Y	N	HIPAA-CFR 45 Part 164 Wis. Stat. § 146.82-146.83			FIS+7 Years Destroy- Confidential
PH000006 Renewal	IMMUNIZATION ADMINISTRATION Records related to the administration of immunization clinics and programs. Includes screening and consent forms completed for children and adults, as well as, vaccine documentation (manufacturer and lot number of the vaccine). Permanent: To track both vaccine preventable conditions over time and vaccinated persons who get an illness for which they were vaccinated.	1990	Electronic	Y	N	HIPAA-CFR 45 Part 164 42 U.S.Code § 300aa-25(c)			Permanent

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11. PHMDC									
PH00008A Amended	WIC PROGRAM Records related to the State of Wisconsin's Women, Infants and Children (WIC) Program. This record series includes required forms signed by participants in the program as part of the annual eligibility certification process, e.g., WIC Rights & Responsibilities, Affirmation Forms, Release of Information, and Prescription for Formulas and Nutritional Supplements.	2005	Paper, Electronic	Y	N	HIPAA-CFR 45 Part 164			EVT+5 Years EVT-Date of last activity. Destroy- Confidential
PH000010 Amended	WELLS AND SEPTIC SYSTEMS Records that document and describe the wells and septic systems in Dane County. These records represent the history of the well/septic systems on a piece of land, regardless of the owner. Excludes well test records, which are retained under PH 000001 Environmental Lab. Permanent: Property owners regularly seek information about construction of wells and septic systems on their property. Wells and septic systems may have a continuing impact on the public health and water quality of the property. Well construction data is critical to protect health and safety, and it has ongoing value to evaluate causes of drinking water quality problems, monitor drinking water and groundwater, investigate sources of contamination, and assess well construction methods and materials over time.	1970	Electronic	Y	N	N			Permanent
PH000011 Renewal	LICENSED ESTABLISHMENTS Documents related to initial licensing process, pre-inspections, monthly/annual inspections, re-inspections for corrected violations, fire calls, new owner/operator, change of address, enforced closures and re-openings to out-of-business.	2013	Paper, Electronic	Y	N	N			EVT+7 Years EVT-Date license expires. Destroy- Confidential

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11. PHMDC									
PH000013 Amended	ANIMAL SERVICES INCIDENTS-MAJOR These records are completed Animal Services forms related to licensing issues & violations and other related incidents. Records are kept long term so that patterns in behavior can be monitored. Examples include Animal Welfare, Animal vs Animal, and Animal Dangerous.	2014	Paper, Electronic	Y	N	HIPAA CFR Parts 160 & 164 Wis.Stat. § 146.82			FIS+30 Years Destroy- Confidential
PH00013A New	ANIMAL SERVICES INCIDENTS-MINOR These records are related to minor incidents such as Wildlife, Animal Rabies, Lost Animals, and Animal Waste. New: Records identified during agency review.	2014	Paper, Electronic	Y	N	N			FIS+1 Year Destroy- Confidential
PH000014 Amended	DATABASE REPORTING Documentation collected for reporting to external partnership databases managed by state or federal agencies. Examples are the Real Time Online Statewide Information Environment (ROSIE), Data Application and Integration Solution for Early Years (DAISEY), FLO (reference to Florence Nightingale), Wisconsin Electronic Disease Surveillance System (WEDSS), and WIR (Wisconsin Immunization Registry). Information reported to the databases may include health history, environmental health assessment, lot numbers, test results, follow-up, and treatment related to services received from PHMDC. Programs that provide case documentation or services include, but are not limited to, reportable communicable diseases, Immunizations, Nurse Family Partnership (NFP), Women, Infants, & Children (WIC), as well as any animal bite reported to PHMDC Animal Services Officers that is associated with a possible rabies exposure.	2005	Paper, Electronic	Y	N	HIPAA-CFR 45 Part 164			EVT+1 Day EVT- Confirmation of receipt by entity submitted to. Destroy- Confidential

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11. PHMDC									
PH000015 Renewal	TB HISTORICAL Tuberculosis (TB) historical records. This record series includes test results, and documentation of follow-up contacts and treatment services for clients testing positive for TB during the period 1980-2011. These records were created prior to Wisconsin Department of Health Services' electronic collection system (WEDSS) so are not included in that system. Permanent: Documentation is frequently required by employers and schools many years after the fact.	1980	Paper	Y	N	HIPAA-CFR 45 Part 164			Permanent
PH00016A New	COVID-CASE FILES & TESTING COVID-related case records. May include surveys, test results, home test self-report results, facility case reporting forms, and case tracking documentation. Excludes COVID immunization records which are retained under PH000006 Immunization Administration. New: Records identified during agency review.	2020	Electronic	Y	N	HIPAA-CFR 45 Part 164			FIS+7 Years Destroy- Confidential
PH00016B New	COVID RELATED SITE PLANS COVID outbreak mitigation/cleanup plans created by PHMDC. Includes physical layouts, staffing plans, decontamination plan, safety plan, and related records. New: Records identified during agency review.	2020	Electronic	N		N			EVT+7 Years EVT-Date investigation is complete. Destroy

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11. PHMDC									
PH000017 New	PROGRAM OR AGENCY DOCUMENTATION Logs, reports, briefs, spreadsheets, work plans, action and evaluation plans, and meeting minutes/agendas related to operations of PHMDC programs and agency work. Training documentation and certification. Examples include, but not limited to, performance management plans and results, optimal agency climate work, workforce development plans, federal survey results, Community Health Assessment/Community Health Improvement Plan (CHA/CHIP) reports. *Excludes program documentation related to legislation and policy, which are retained under GS000056 Legislation & Policy. New: Records identified during agency review.	2005	Paper, Electronic	Y	N	HIPAA-CFR 45 Part 164			FIS+7 Years Destroy- Confidential
PH000018 New	SENSITIVE PROGRAM CASE FILES Documents related to sensitive cases concerning public health issues in Dane County. May include medical, police reports, or other reports from internal programs or external agencies. Original report information is de-identified (name is removed from all documentation); the original is destroyed confidentially according to RDA PH000025; and the de-identified version is the official record. PHMDC programs that may include these types of records are violence prevention programs, Fetal Infant Mortality Review (FIMR), and Overdose Fatality Review. New: Records identified during agency review.	2005	Paper, Electronic	Y	N	HIPAA-CFR 45 Part 164			FIS+10 Years Transfer to WHS

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11. PHMDC									
PH00019A New	PRIMARY & SECONDARY DATA PROJECTS-HISTORICAL Primary (collected by PHMDC) or secondary (collected by other organizations or institutions) data projects and agency documentation/reports related to public health and community trends. Examples include neighborhood data collection efforts, community health plans, agency legislative agenda, and issues. Primary or secondary data/documentation from other agencies or PH program areas are de-identified; the original is destroyed confidentially according to RDA PH000025; and the de-identified version is the official record. New: Records identified during agency review.	2013	Paper, Electronic	Y	N	HIPAA-CFR 45 Part 164			FIS+20 Years Transfer to WHS
PH00019B New	PRIMARY & SECONDARY DATA PROJECTS-TIME SPECIFIC Primary (collected by PHMDC) or secondary (collected by other organizations or institutions) data related to public health and community efforts. Includes evaluations from meetings or events that are time specific data projects. Primary or secondary data/documentation from other agencies or PH program areas are de-identified; the original is destroyed confidentially according to RDA PH000025; and the de-identified version is the official record. New: Records identified during agency review.	2013	Paper, Electronic	Y	N	HIPAA-CFR 45 Part 164			EVT+3 Years EVT-Close of project. Destroy- Confidential
PH000020 New	COMPLIANCE DOCUMENTATION & CITATIONS Documentation related to compliance with PHMDC policies, and local, state, and federal regulations that PHMDC has the authority to enforce. Examples include original complaint, correspondence, reports for food borne illness, pool complaints, etc. New: Records identified during agency review.	2005	Paper, Electronic	Y	N	HIPAA-CFR 45 Part 164			FIS+7 Years Destroy- Confidential

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11. PHMDC									
PH000021 New	COMPLAINTS AGAINST PHMDC Records related to complaints about testing sites, policies, emergency orders, etc. New: Records identified during agency review.	2010	Electronic	Y	N	HIPAA-CFR 45 Part 164			FIS+7 Years Destroy- Confidential
PH000022 New	EDUCATION, ADVOCACY & GUIDANCE MATERIALS Examples include, but not limited to, documents related to education and advocacy of public health topics, emergent issues, and events, and COVID guidance and recommendations not part of the orders. New: Records identified during agency review.	2005	Paper, Electronic	N		N			EVT +1 Year EVT-Content is superseded or no longer relevant per program area manager. Destroy
PH000023 New	INTERNAL OPERATING POLICIES & PROCEDURES Records related to standard internal operating processes and procedures as well as continuity of operations plans, general emergency response and recovery plans, and hazard vulnerability assessments. New: Records identified during agency review.	2005	Electronic	N		N			EVT+7 Years EVT-Content is superseded. Destroy
PH000024 New	INCIDENT COMMAND, PLANNING & REPORTS Event planning documentation, Incident Action Plan (IAP), communications, requests for assistance, After Action Reports and improvement plans. Reports are cumulative review of PHMDC's response submitted to Wisconsin Emergency Management. New: Records identified during agency review.	2011	Paper, Electronic	N		Wis Stat § 232.15			FIS+10 Years Destroy- Confidential

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11. PHMDC									
PH000025 New	<p>Primary and Secondary Documentation</p> <p>Primary and secondary documentation received from external partners and internal program areas. Examples include neighborhood data collection efforts, community health plans, medical and police reports. The documentation is de-identified and the original is destroyed confidentially. The de-identified version is retained under RDAs PH000018, PH00019A, or PH00019B.</p> <p>New: Identified during PRB-Records Management Committee review.</p>	2023	Paper, Electronic	Y	N	<p>HIPAA-CFR 45 Part 164</p> <p>Wis.Stat.§146.82</p>			<p>Event +1 day</p> <p>Event – De-identified version is created and the original document is no longer needed.</p> <p>Destroy confidential</p>

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Related Records Series or Statewide General Records Schedules (GRS) Follow the retention provisions specified in applicable approved agency specific retention schedules and Statewide General Records Schedules. <i>Note: information only</i>		
RDA Number	Record Series Title and Description	Notes/Comments
	City of Madison General Records Schedule:	
GS000001	Accounts Receivable/Accounts Payable	FIS+7 Years
GS000024	Payroll Related Records	FIS+7 Years
GS000030	Contracts	EVT+10 Years; EVT-end of contract
GS000037	Grant Files	EVT+7 Years; EVT-date of final report/denial
GS000054	Open Records Requests	CR+3 Years
GS000056	Legislation & Policy	Permanent
GS000072	Training/Course Materials	EVT+1 Day; EVT-content superseded/no longer needed

Closed/Superseded Series <i>Note: information only</i>			
RDA Number	Record Series Title	Status	Notes/Comments
PH000002	COMMUNICABLE DISEASE	Closed	Merged w/PH000014 DATABASE REPORTING
PH00008B	WIC REPORTING	Closed	Merged w/PH000014 DATABASE REPORTING
PH000012	PUBLIC HEALTH MERGER & FACILITY PLANNING	Closed	All records have been dispositioned