

Records Retention Schedule (1133-01)

Approved:
AHS Records Retention Schedule

Records and Information Management (RIM@ahs.ca)
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Introduction

Recorded information is an element of any organization's infrastructure in that it supports and protects the organization's mandates and initiatives. It provides an audit trail of important business decisions and transactions in addition to demonstrating evidence of compliance with legal requirements.

Good records management practices help to fulfill continuity of care functions and to identify and safeguard valuable, useful and legally required records, regardless of format or media. Records are necessary to manage and comply with mandated statutory requirements. The Records Retention Schedule works to prevent the unnecessary accumulation and premature destruction of records.

The purpose of the AHS Records Retention Schedule is multi-faceted. Not only does it serve to identify those records of the organization which have long term value, and hence must be maintained, but it also defines how long records must be maintained and the final disposition of the records. Consistent application of the AHS Records Retention Schedule and compliance with AHS Records Management Policy & Procedures assures that information is retained only as long as it is needed to meet legal, fiscal, operational and historical requirements and to reduce the chance for inconsistent or reckless disposal of records.

The consequences for failure to meet legal and regulatory requirements to preserve documentation needed by an organization to meet its mandates and initiatives range from loss of rights, time and money, to imposed fines and loss of public confidence.

The attached Alberta Health Services Record Retention Schedule ensures that all corporate needs and requirements have been met with respect to record retention. The retention periods set out in this document are mandatory periods for which AHS records must be retained. Both paper and electronic records must comply with this document.

The AHS Records Retention Schedule is the definitive document that governs the following aspects of electronic, email and paper documents/records:

- how these records should be organized;
- how long these records must be retained; and
- when these records must be destroyed or archived.

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The Alberta Health Services Records Retention Schedule has been developed on a business functional model so that its structure can remain stable during times of organizational change. As a result, information may fall in areas outside of the more familiar departmental structure - E.g. Contracts are located within **Legal – Contract Management**, as they are legal documents, even though they will most likely be used and developed by other departments.

Although there is a place for executive and board level minutes (see Governance – Board Administration, Governance – Executive Committee), there are no similar categories for operational level minutes and reports. These documents would fall under the functional records series for which they are operationally responsible.

Relevant Policies & Procedures

Records Management Policy # 1133

Destruction Procedure # 1133-02

Legal Hold Procedure # 1133-04

Transitory Records Procedure # 1133-03

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0100 Governance [\[return to Table of Contents\]](#)

Information related to the analysis, establishment and ongoing governance of programs and services. It covers the administration of the bodies that promulgate decisions that impact programs and services, and pertains to the process that supports decision-making. It includes identifying and assembling information that is related to the organizations core business objectives in order to map out appropriate programs and services related to the effective management of AHS.

Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0110	Governance	Accountability	Information related to the documentation of responsibility for operational and administrative functions from an organizational structure perspective, as well as the delegation of authority attached to positions and Conflict of Interest declarations.		Calendar year end	5 years	Destroy	Alberta Business Corporations Act
0120	Governance	Board Administration	Information related to the business processes undertaken by the AHS Board to carry its mandate, including relationships with government and the community. It includes the appointment of members, its responsibilities, activities and decisions. Includes bylaws and minutes.		Calendar year end	Permanent	Permanent	Alberta Business Corporations Act
0130	Governance	Executive Committees	Information related to Executive interaction with other bodies structured for specific tasks. Committees include but are not limited to: steering, sub-committees, work groups, task forces, Board meetings, Facility Leadership Council meetings, etc. Records include minutes, agendas, records of decision, reports and terms of reference.	See functional activity or Program Services for Departmental / Operational Committee activities	Calendar year end	Permanent	Permanent	Alberta Business Corporations Act, Canadian Business Corporation Act

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0140	Governance	External Relations	Information related to the interaction between associations, partnerships, memberships, government departments, advisory bodies, and other external organizations and AHS. Records include correspondence, submission, reports and presentations, information that establishes the authority of programs, services, or appointments through analysis, planning, development, approval or amendment of legislation. Legislation includes statutes, regulations, rules and orders.		Calendar year end	5 years	Destroy	
0150	Governance	Planning	Information related to the development of strategic, operational plans, and business plans, through the identification of objectives and evaluating alternative courses of action, analysis of emerging issues and trends, and performance indicators derived from the contributions of stakeholders and business units. It includes strategic priorities and performance goals that are reflected in the business plan and reported in the annual report.	See also Financial Planning	Fiscal year end	11 years	Selective Retention as determined by the Archivist	Limitations Act section 3
0160	Governance	Policy/Procedures Management.	Information related to the development, acceptance, and review of policies, procedures, standards, guidelines and protocols that give broad direction to the organization in conducting its operations and in providing services.		Superseded or obsolete	30 years	Selective Retention as determined by Archivist	Alberta Business Corporations Act

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0170	Governance	Reporting	Information related to the provision of annual, ad hoc, or designated information regarding corporate operations, specific initiatives or the financial status of the Region to governing bodies or those with regulatory authority over the Region. Includes audited financial reports.	Final disposition as dictated by reporting authority	Fiscal year end	11 years	Selective Retention as determined by the Archivist	

0200 Legal

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Information related to performing legal advisory services, the administration of legal instruments and assessing the legal implications of issues or initiatives.

Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0210	Legal	Advisory	Information related to discussing and providing expertise to legal matters on behalf of the organization. Includes analysis, opinions & regulatory advocacy.		Superseded or obsolete	11 years	Destroy	Limitations Act section 3
0220	Legal	Contract Management.	Information related to the creation and final approval of contracts, agreements, memorandums of understanding, etc. including third party agreements.	Significant and unique contracts and agreements over \$75, 000 must be kept permanently. File contractual agreements under Contracts	Contract ended	11years	Selective Retention as determined by the Archivist	Govt of Alberta - NOTE: Significant and unique contracts and agreements over \$75, 000 must be kept permanently, Limitations Act section 3
0230	Legal	Litigation	Information related providing services and support to the organization before, during and after a trial or hearing.		Litigation completed or abandoned	11 years	Destroy	Limitations Act section 3

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0240	Legal	Rights Management	Information related to the creation, transfer and assignment of non-contractual rights. A right to ownership may be asserted against any asset in which the organization has an interest, such as intellectual property, copyright, patents, official marks and trademarks.	All terms run to December 31 of the year they are due to expire.	Superseded or obsolete	30 years	Destroy	Copyright Act section 6.1

0300 Risk Management [\[return to Table of Contents\]](#)

Information related to the identification, assessment and prioritization of risks followed by coordinated and economical application of resources to minimize and control the probability and/or impact of unfortunate events.

Record Code	Function	Sub function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0310	Risk Management	Business Continuity Planning	Information associated with the process of developing prior arrangements and procedures that enable an organization to respond to an event in such a manner that critical business functions can continue.		S/O	5 years	Destroy	
0320	Risk Management	Incident Reporting, Investigations - Adults	Reports and correspondence of incidents and complaints by health system users. Includes investigation & reporting of patient safety incidents, information security breaches, physical security incidents, patient concerns and comments and WHS reports relating to incidents involving staff injury and Dangerous Work Refusal investigations.		Investigation completed	11 years	Destroy	Limitations Act section 3, Alberta OHS Act Part 5, section 40(7)

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0321	Risk Management	Incident Reporting, Investigations - Minors	Reports and correspondence of incidents and complaints by health system users. Includes investigation & reporting of patient safety incidents, information security breaches, physical security incidents, WHS reports relating to incidents involving staff injury, patient concerns and comments.	To be used only in the investigation of incidents involving the treatment & care of minors.	Investigation completed; 10 years past the age of majority = 28 years of age	28 years of age	Destroy	Limitations Act section 3, Alberta OHS Act Part 5, section 40(7)
0330	Risk Management	Insurance - Claims	Information associated with insurance claims in response to reports of loss, theft, damage, repair estimates, investigations, vehicle accidents/loss reports, short term and long term disability benefit claims.		Claim completed	11 years	Destroy	Limitations Act section 3
0340	Risk Management	Insurance - Policies	Information related to the taking out of premiums to cover loss or liability. Information related to insurance coverage, bonds and bonding, assets and property valuations, and other insurance matters. Includes insurance policies and certificates, employee benefit plans.		Termination of policy	11 years	Destroy	Limitations Act section 3
0350	Risk Management	Quality Assurance	Information related to the planned or systematic activity to study, assess or evaluate the provision of health services with a view to continued improvement of quality of health care & health services, and the level of skill, knowledge and competence of health service providers. Includes: standards and procedures required to deliver services and meet performance criteria, quality assurance committee and accreditation activities.	Accreditation records and standards may have permanent retention. Quality Assurance Committee records are protected from disclosure by the Alberta Evidence Act (s. 9)	Calendar year end	11 years	Selective Retention as determined by the Archivist	Limitations Act section 3

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0360	Risk Management	Quality Control	Quality control is related to actions taken to ensure that procedures intended to ensure that a product or performed service adheres to a defined set of quality criteria. Quality Control records may include: audits, sterilization & calibration records, quality surveys, inspections and test results.		Calendar year end	5 years	Destroy	
0370	Risk Management	Driver Files	Information related to driver application, employment history for 3 yrs preceding hire date, previous employer inquiry documentation, driver authorization form, valid driver's license, abstract summary, medical certificate, evaluation/operational training records, hours of service records, TDG training certificates issued under act, record of driver education courses, records of all motor vehicle collisions requiring report to peace officer, documentation of all traffic violation convictions from provincial and federal legislation including photo radar and red light camera violations.		Termination	11 years	Destroy	Limitations Act, Alberta Traffic Safety Act, Commercial Vehicle Certificate & Insurance Regulation AR 314/2002, Drivers Hours of Service, Transportation of Dangerous Goods Act & Regulations

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0400 Communications

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Information related to the development and dissemination of information regarding the organizations business and mandate using various methods and mediums.

Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0410	Communications	Clinical Communication	Information related to the development, review, approval and release of information products and publications relating to patient care & clinical information. Includes content & design of patient education brochures & materials.	Final versions only. See Corporate Communications for corporate newsletters, websites, etc.	Superseded or obsolete	11 years	Selective Retention as determined by the Archivist	Limitations Act section 3
0420	Communications	Corporate Communication	Information related to communication plans and materials in consultation with stakeholders to achieve communication goals, the development, approval and distribution of delivering messages through various communication vehicles, e.g. websites, broadcast media, etc.	Final versions only.	Superseded or obsolete	3 years	Selective Retention as determined by the Archivist	
0430	Communications	Events Coordination	Information related to the organization of events, tours, ceremonies and other public venues involving the organizations and/or business unit representation.	Contact archivist as materials may have archival value.	Calendar year end	3 years	Selective Retention as determined by the Archivist	
0440	Communications	Executive Communication	Information related to the preparation, submission of and action on information exchanged on specific issues where responses are required at the executive level. Including briefing notes, speeches, lectures by officials, requests for action.		Calendar year end	3 years	Selective Retention as determined by the Archivist	

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0450	Communications	Inquiry Response	Information related to tracking and developing responses to informal information requests from stakeholders, other levels of government and interest groups.	See Information Mgmt. - Access & Privacy for formal FOIP & HIA information requests.	Calendar year end	3 years	Destroy	
0460	Communications	Marketing	Information related to processes associated with the promotion and utilization of the organizations programs/services and resource materials, social marketing initiatives and managing corporate profile and reputation. It includes the development of advertisements, display administration and the distribution and circulation of promotional materials.	See Clinical Communication for patient / clinical information materials.	Calendar year end	3 years	Selective Retention as determined by the Archivist	
0470	Communications	Media Monitoring	Information related to the review of media reports and inquiries and identification of items that require a response.		Calendar year end	3 years	Destroy	
0480	Communications	Visual Identity Management	Information related to the access and monitoring for use of the visual identity materials.	See Legal - Rights Mgmt. for copyright, trademarks etc.	Calendar year end	5 years	Destroy	Operational Requirements

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0500 Education

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Information related to formal education programs offering accredited education such as nursing school programs. Also includes Staff Training and Development.

Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0510	Education	Transcripts	Official record of a student's grades and courses. Documents may include Official Transcripts, Certified Copies (Transcript) or unofficial copies issued by the Region, student profiles and Certified Copies or unofficial copies of transcripts from external organizations which have been obtained to confirm prerequisite requirements have been met for enrollment.		Academic year end	50 years	S/R	Alberta Regulation 225/2006 Student Record Regulation
0520	Education	Course Syllabus	Documents related to course syllabus. Documents may include a summary or outline of a specific course, prerequisite declaration (if any) and materials required.	For formal Degree Programs only.	Academic year end	50 years	S/R	Historical Relevance
0530	Education	Registration	Includes admission, enrollment & student records.	See 0510 for formal certificates.	Completion or termination of course of study	11 years	Destroy	Post Secondary Learning Act - General Faculties Council, Limitations Act section 3
0540	Education	Staff Training	Information related to the development of content used for learning purposes. Attendance & scheduling of staff training & development through in-services, self-development orientation & competency assessments.		Superseded or obsolete	5 years	Destroy	

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0600 Facilities & Asset Management [\[return to Table of Contents\]](#)

Information that pertains to decisions that govern the operational administration of physical properties and equipment.

Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0610	Facilities & Asset Management	Asset Management.	Information related to the acquisition & management of physical assets, such as buildings, land, major equipment, vehicles, telecommunications equipment etc. Includes summaries of transactions, copies of invoices and receipts and purchases journals, fixed asset inventories, depreciated assets lists, surplus equipment, and write offs. Records also include government and commercial licenses and permits for use and operation of equipment, buildings, land, and permits, software licenses.		Asset disposed of or fully depreciated	7 years	Selective Retention as determined by the Archivist	Canada Income Tax Act ss230, 230.1 Income Tax Regulation 5800 and Information Circular 78-10RC
0615	Facilities & Asset Management	Architectural Drawings & Plans - As Built	Records relating to all original as issued drawings including architectural, electrical, mechanical, civil/structural, and fire protection.		Drawing Amended	Permanent	Permanent	

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0620	Facilities & Asset Management	Capital Builds & Renovations	Information related to the management of the request, proposal review, approval and implementation processes. Planning includes terms of reference, project plan and request for proposals; General Administration includes progress reports, correspondence and timeline; Financial includes budget or cost centers, invoices, insurance, leases and contracts; design development bid documents includes specifications, drawings, and addendums; Contract administration includes changes orders, permits, certificates of final completion and furniture and equipment. Renovation request, proposal review, approval and implementation processes. This includes renovations required due to the physical expansion or amalgamation of offices.	Major renovations are defined as those requiring changes to drawing or requiring permits.	1 Year from date of substantial completion of project and/or after government audit, as required	11 years	Selective Retention as determined by the Archivist	Limitations Act section 3, Canada Income Tax Act (230,230.1)
0630	Facilities & Asset Management	Environmental Sustainability	Information related to the utilities used such as natural gas, electricity, steam, chilled water, water/sewage. Records include historical data on consumption & costs.		Calendar year end	5 years	Selective Retention as determined by the Archivist	Canada Income Tax Act ss230, 230.1. Income Tax Regulation 5800 and Information Circular 78-10RC

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0640	Facilities & Asset Management	Equipment & Vehicle - Use and Maintenance Records	Information related to inspection, repairs, maintenance and operational manuals for non-biomedical equipment, ambulances and fleet vehicles. Also includes routine equipment maintenance (e.g. daily function checks), service records.		Calendar year end	5 years	Destroy	Licensing & Ambulance Maintenance Regulation 46 Commercial Equipment Safety Regulation
0645	Facilities & Asset Management	Equipment - Bio-medical Use and Maintenance Records	Information related to the design, development, use and maintenance of bio-medical equipment. Records include operating standards, modifications and requests for new equipment, evaluation or assessments of existing equipment, appraisals, maintenance orders, investigational testing, logs, device validation/ verification and summary information. Includes inspection reports and Fire Extinguishing System leak records.		Equipment obsolete/ replaced	11 years	Destroy	ISO Standard 13485 section 4.2.5; CPSC Standard for Diagnostic Laboratory Accreditation G.4.0.18; Limitations Act section 3
0660	Facilities & Asset Management	Physical Access Control	The materials and evidence of activities related to the issuing and tracking of physical access control mechanisms including parking passes and cardkeys.	Security surveillance tapes are treated as transitory records unless an incident is captured - See Risk Management - Incident Reporting, Investigations See 1040 for Network Area Access (NAR's)	Calendar year end	11 years	Destroy	Limitations Act section 3

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0670	Facilities & Asset Management	Property & Waste Management	Information related to the maintenance of physical work environments & manifested hazardous waste disposal. Includes general maintenance activities such as cleaning, repairs and maintenance logs for buildings and non-hazardous waste management. Includes manifests of transfers to waste treatment disposal services.	Renovations not requiring changes to drawings = maintenance	Calendar year end	3 years	Destroy	Environmental Protections & Enhancement Act & Waste Control Regulation
0680	Facilities & Asset Management	Property Management	Information related to the operation of physical assets, such as buildings, land, major equipment, telecommunications equipment etc. Includes space allocation & planning, summaries of transactions, copies of invoices and receipts and purchases journals.		Calendar year end	11 years	Destroy	Limitations Act section 3

0700 Finance [\[return to Table of Contents\]](#)

Information related to the administration of finance activities.

Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0710	Finance	Accounting – General Ledger	Information resulting from the function of managing the entries made in the general ledger. Includes financial audits and audited financial statements.	The General Ledger or other book of final entry containing the summaries of the year-year transactions. This is evidenced by a trial balance of the whole General Ledger at the end of each fiscal year. Excludes information held in 0711.	Fiscal year end	Permanent	Permanent	Canada Income Tax Act xx 230, 230.1 Income Tax Regulation 5800 and Information Circular 78-10R3 Books and Records Retention and Destruction

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0711	Finance	Accounting – General Ledger – Supporting Documentation	Supporting Documentation for transactions in the General Ledger. Includes Journal vouchers, reconciliations and variance analysis.		Fiscal year end	7 years	Destroy	Income Tax Circular #IC78-10R5
0715	Finance	Accounts Payable	Information related to the receipt, approval, payment and reporting of accounts payable on behalf of The organization for goods or services rendered. It includes taxation considerations and accounts reconciliation		Fiscal year end	7 years	Destroy	Canada Income Tax Act ss. 230, 230.1, Income Tax Regulation 5800, and Information Circular 78-10R3 Books and Records Retention and Destruction Hospital Act Operation of Approved Hospital Regulation Alberta Regulation 247/90 s.15 1(3)
0720	Finance	Accounts Receivable	Information related to the receipt, review, processing and reporting of accounts receivable on behalf of the organization. This includes the activities associated with the managing of funds willed, bequeathed or donated to the organization.	See Finance - Client Trusts for trust accounts See Information Management - Access & Privacy - HIA for Account Disclosure Statements	Fiscal year end	7 years	Destroy	Health Care Protection Regulation 208/2000 section 9, Revenue Canada Guideline IC78-10R5
0725	Finance	Banking	Information related to banking activities including deposits, bank drafts, and bank statements. Also includes cancelled checks, check journals, and requisitions, information related to the reconciliation of accounts		Fiscal year end	7 years	Destroy	Canada Income Tax Act (230,230.4) Income Tax Regulation 5800 and Information Circular 78-10-R4

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0726	Finance	Unclaimed Checks	Information related to unclaimed stale dated checks issued by Accounts Payable and Payroll Departments with individual amounts over \$250.00.		Fiscal year end	11 years	Destroy	Alberta Unclaimed Personal Property Act (Section 13)
0730	Finance	Budget/Financial Planning	Information related to the planning and analysis of future income, expenses and asset requirements for the purposes of business planning. Includes forecasting/variance analysis.		Fiscal year end	7 years	Destroy	Alberta Regional Health (Ministerial) Authorities Regulation AR 17/95 s.4
0735	Finance	Capital Assets / Accounting	Information related to the financial accounting for managing and tracking corporate physical assets. Capital Assets (include equipment, real estate, land and buildings and their construction) are acquired at a cost of over five thousand dollars (\$5000) and having a useful life of more than one (1) year, and which is used in business operations to render a service as opposed to sale or immediate consumption. Includes summaries of transactions, copies of invoices and receipts, fixed asset inventories, write-offs, and documents supporting provincial approval for projects, additions, disposals and calculations of depreciation.	Record is still considered active until asset is capitalized and/or audit has been completed.	Asset capitalization, or after audit as required	7 years	Destroy	Canada Income Tax Act (230,230.4) Income Tax Regulation 5800 and Information Circular 78-10-R4 Books and Records Retention/Deletion

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0740	Finance	Client Trusts	Information related to trustee correspondence, withdrawal records, and authorization to release funds forms, bill payment from client trust accounts. Funds transfer reports and bank confirmations, monthly client personal allowance sheets, benevolent fund, advances, closing of client trust accounts documentation, deposit records, receipt logs, check rosters, cash count sheets, cash float management records and mail blotter sheets.		Closure of account	7 years	Destroy	Canada Income Tax Act. Chartered Accountants of Canada (CICA) handbook
0750	Finance	Financial Reporting - Quarterly	Information related to internally generated monthly and quarterly financial statements.	See Governance Reporting for annual financial reporting	Fiscal year end	3 years	Destroy	Regional Health Authorities (Ministerial) Regulation AR 17/95 s.3
0760	Finance	Grants / Funding	Information related to the provision of financial support to program initiatives (i.e. community groups and non-profit societies) either through grants, loans, bursaries or similar awards of financial aid.		Fiscal year end	7 years	Destroy	Canada Income Tax Act (230,230.4) Income Tax Regulation 5800 and Information Circular 78-10-R4 Books and Records Retention/ Destruction
0770	Finance	Logistics	Information related to the process of managing the efficient, effective flow and storage of both inbound and outbound materials, goods, services and related information. Includes mail and courier, transportation, distribution and tracking.		Fiscal year end	3 years	Destroy	Regional Health Authorities (Ministerial) Regulation AR 17/95 s.3

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0780	Finance	Procurement	Information related to the process of procuring products or services in order to achieve operational objectives. Includes requisitions and purchase orders, warranties, unsuccessful bids & proposals.	See also Legal - Contract Mgmt.	Fiscal year end	3 years	Destroy	Regional Health Authorities (Ministerial) Regulation AR 17/95 s.3
0790	Finance	Taxation	Information related to taxation matters at all levels, records pertaining to sales taxes, corporate returns, interpretations, tax schedules, customs, excise tax, tax incentives, tax receipts for gifts, and tax exemptions. Also includes Receiver General Reports.		Fiscal year end	7 years	Destroy	Canadian Excise Tax Act (286) and General memorandum G500-1

0800 Human Resource Management [\[return to Table of Contents\]](#)

Information relating to the administration of Human Resources activities.

Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0805	Human Resource Management	Benefits	Information related to the development, initiation, tracking, approval, reporting and remittance of group and individual benefits on behalf of the organization. Includes long term disability, life insurance, Blue Cross, Alberta Health Care and dental plan and union dues donations.	Benefit claims see Risk Management - Insurance Claims. Benefit policies see Risk Management - Insurance Policies.	Calendar year end	5 years	Destroy	Employment Standards Code s. 15, Canada Labor Code Employment Pension Plan Act RSA 2000 (8.16)
0815	Human Resource Management	Clinical Affairs	Information related to the accreditation of professional staff, assignment of privileges, credentials, physician files, and specific physician complaints and assignment of clinical department heads.	Includes Physicians, Nurses & other allied health professionals	Termination	11 years	Destroy	Limitations Act section 3

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0820	Human Resource Management	Compensation	Information related to the definition, operation, application and review of corporate employee compensation levels. This includes the evaluation of position criteria and the establishment of a specific job classification, benchmarks and compensation according to a pre-determined scale.		Calendar year end	5 years	Destroy	
0825	Human Resource Management	Employee Administration	Information associated with the administration of individual employees, their commencement, evaluation and termination. Includes letter of offer, commencement notice, official oath, personal information such as age, gender, social insurance number, address and citizenship, education, employment history, notice of promotion, change in employment or pension status, transfer assignment, termination or retirement, appraisal, disciplinary actions; notations of decision relating to staffing; attendance records and leave; pay and benefits including LTD; staff development and training; payroll and tax deductions; occupational health and safety; employee assistance; health and life insurance; bonds; master attendance records; probationary periods; classification; names of pension beneficiaries; and other personal data.	Pension information should be placed on a separate file - See Human Resources - Pension (0855)	Termination	11 years	Destroy	Limitations Act section 3
0830	Human Resource Management	Employee Health Records - Hazardous	Information related to an employee exposed to a Physical, Biological, Chemical and/or Psychosocial hazards in the workplace. Examples include asbestos, chemicals, radiation or hearing loss resulting from noise exposure.		Employee terminated or retired	40 years	Destroy	Alberta OHS Code 2009, Section 40(1)

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0835	Human Resource Management	Employee health Records - Non Hazardous	Information related to an employee's health surveillance. Information related to employee health. Records consist of nurse's notes, periodic medical examinations, audiometric tests, vision tests, health history, and copies of workers compensation claims, workplace assessments such as Ergonomic Assessments, IAQ results and Noise mapping records. Also includes Information related to the administration of employees with long-term illness or other disabilities that require documentation of injury or illness, liaison with WCB regarding the claims administration, correspondence with insurance carriers, leave, return to work, modified work plans and ongoing assessment. Includes long term and short term disability.		Employee terminated or retired	11years	Destroy	Alberta Limitations Act section 3, Hospitals Act s. 24, Operations of Approved Hospital Regulation 247/90 s. 13
0840	Human Resource Management	Labor Relations	Information related to the activities associated with the organizations employees and their representatives. Includes employment trends & analysis, grievances, disciplinary review & incident reporting.		Calendar year end	11 years	Destroy	Limitations Act section 3
0845	Human Resource Management	Labor Relations - Collective Bargaining	Information related to the activities association with establishing formal relations with the organizations, employees and their representatives. Includes collective bargaining administration & agreements, awards, code of conduct.		Superseded or obsolete	11 years	Destroy	Limitations Act section 3

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0850	Human Resource Management	Payroll	This is the review, approval and processing of employee payroll. Includes remittance of taxes and other source deductions. Includes payroll time accounting/timecards, attendance records, leave of absence reports, and records that document employee hours, wages, vacations, holidays, absences and overtime.	See Human Resources - Pension for payroll registers	Calendar year end	7 years	Destroy	Income Tax Act
0855	Human Resource Management	Pension	Information Used for the administration of pension benefits. Includes payroll registers for pension related inquiries & buybacks.		Calendar year end	50 years	Destroy	Employment Pension Plan Act s. 16 of 0805
0860	Human Resource Management	Performance Management	Information related to the management of the performance planning, appraisal and disciplinary processes for the organization based on corporate practices. This may include the planning, appraisal and review of performance during training and skill development.		Calendar year end	11 years	Destroy	Limitations Act section 3
0865	Human Resource Management	Recruitment	Information related to the analysis of candidates against a specified position profile to evaluate the suitability of individuals for employment.		Calendar year end	1 year	Destroy	Freedom of Information and Protection of Privacy s. 35(b)
0870	Human Resource Management	Staff Scheduling	Information related to staff rotation. Includes Staff assignments, documentation used for staff scheduling and not as a record of actual time worked for submission to payroll.	See 0850 for timesheets of actual time worked	Calendar year end	1 year	Destroy	

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0880	Human Resource Management	Volunteer/ Practicum Administration	Information associated with the managing and supervising of volunteers and practicum students.	Educational Institutions are responsible for the management of all eligibility requirement assessments as stated in the Student Placement Agreement	Volunteer leaves	11 years	Destroy	Limitations Act section 3
0890	Human Resource Management	Workforce Management	Information related to the activities associated with analyzing resource requirements of business units. Includes position requisition, workforce administration, position classification and job descriptions, etc.		S/O	3 years	Destroy	
0895	Human Resource Management	Workplace Health & Safety	This includes workplace inspections, HIACs (Hazard Identification, Assessment & Control) forms, Field Level Risk Assessments (FLRA), Awareness Briefings, and Workplace Health & Safety (WHS) training programs, WHS program compliance checklists and audits. Also included are first aid records, incident reports and investigation documents related to serious injuries & illnesses. If the incident or assessment involves an employee injury/illness.	See Record Code 0320 for specific record retention details.	S/O	3 years	Destroy	Alberta OHS Code 2009 – Part 11, Section 183(3) Alberta OHS Act-Part 5, Section 40(7) Alberta OHS Act-Part 5, Section 4

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0900 Information Management [\[return to Table of Contents\]](#)

Information relating to the administration of information and related activities.

Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0910	Information Management	Access & Privacy - Health Information (HIA.)	Information related to the monitoring, investigation and granting of formal requests for access to personal information or health information under the Health Information Act. Includes requests for information & responses, breach investigations, correction requests & OIPC reviews.	Name of whom it was disclosed, date and purpose of disclosure and description of the information disclosed should be maintained on disclosure log.	Request completed	11 years	Destroy	Health Information Act s. 41
0915	Information Management	Access & Privacy - Personal Information (FOIP)	Information related to the monitoring, investigation and granting of formal requests for access to personal information or general information under the FOIP Act. Includes requests for information & responses, breach investigations, correction requests & OIPC reviews.		Request completed	5 years	Destroy	Departmental Requirement
0920	Information Management	Canadian Institute for Health Information (CIHI) and Alberta Health Statistical Reports	Statistical information compiled by CIHI from data submitted by facilities on Canadian Population Health Initiatives, Health Indicators, Health Services Research, Analytics reports, Hospital Mortality Ratio, Patient Safety, Wait times.		Fiscal year end	5 years	Destroy	Departmental Requirement
0925	Information Management	Coding manuals	Manuals used to assign diagnostic and procedure codes to clinical data for submission to Alberta Health, CIHI, CPHA (Commission on Professional Hospital Activities).	One set of each divisional customized edition of coding manuals to be kept by each divisional Measurement and Reporting department	Superseded or obsolete	30 years	Destroy	Departmental Requirement

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
0930	Information Management	Forms Management	Information related to the analysis, design, implementation and control of business forms, letterhead, logos and business cards. Includes listings of forms in use, forms history information and printing specifications.		Superseded or obsolete	3 years	Destroy	
0940	Information Management	Information Assessments	Information related to assessments and implementation of information procedures and systems. Records include Privacy Impact Assessment, Research assessments and security assessments.		S/O	3 years	Destroy	
0950	Information Management	Information Archiving & Storage Management	Information relating to access controls and management of inactive records.		S/O	11 years	Destroy	
0960	Information Management	Preservation, Disposition & Retention Management	Information related to Taxonomies, classification schema and thesauri to support the management of materials & information for storage/preservation to ensure the availability or destruction in accordance with established guidelines.		Superseded or obsolete	Permanent	Permanent	

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1000 Information Technology [\[return to Table of Contents\]](#)

Information related to the study, design, development, implementation, support or management of computer-based information systems, particularly software applications and computer hardware.

Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
1010	Information Technology	Service Management	Information relating to the information technology support services that are provided by the IT business unit		Calendar year end	3 years	Destroy	
1020	Information Technology	System Administration and Development	Information related to the provision of network, hardware, system and device technical services, in addition to technology infrastructure design and maintenance support. Includes application development, data administration, desktop management, enterprise architecture management, enterprise systems administration, third party application management, information security administration, system audits, network management and server management.		System obsolete or migrated/up graded	3 years	Destroy	
1030	Information Technology	System Back-up	Information related to the back-up of systems to off-site facilities.	For data archiving, see applicable retention series for functional area of information archived.	Superseded or obsolete	6 weeks	Destroy	
1040	Information Technology	Electronic Access Logs / Audits	Electronic logs containing information tracking electronic access to applications and databases containing health information and personally identifiable information.	See 0320 Risk Management - Incident Reporting, Investigations for Audit Reports generated as part of investigations.	Calendar year end	11 years	Destroy	Limitations Act section 3, Health Information Act s.41(2) Alberta Health and Wellness - Provincial Logging and Audit Standard (3.2)

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1100 Knowledge Management [\[return to Table of Contents\]](#)

Information related to the distribution of knowledge to individuals or groups or the acquisition of knowledge from other fields of practice in order to enhance the delivery of authorized programs/services.

Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
1110	Knowledge Management	Business Process Management	Information related to the tools and techniques to design, analyze and manage operational business processes and, where possible, to improve those processes.		Completion of report /project	11 years	Destroy	Limitations Act section 3,
1120	Knowledge Management	Environmental Scanning	Information related to the collection, analysis, translation and dissemination of information about external and internal influences for awareness and decision making.	See Research - Surveillance Research for health trends in population groups.	Completion of report /project	5 years	Destroy	
1130	Knowledge Management	Information Services	Information related to the provision of information services offering of a capability for generating, acquiring, storing, transforming, processing, retrieving, utilizing, or making available information via telecommunications providing processed or published information on specific topics to an organization's internal users, its customers, or the general public.		Calendar year end	3 years	Destroy	

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
1140	Knowledge Management	Knowledge Exchange	Information related to the process of exchanging knowledge, skills, experience and understanding among researchers, policy makers and service providers using various methods (after-action reviews, communities of practice, exit interviews, best practices, peer assists, storytelling, expertise banks, etc.) through multiple mediums (in-person, teleconferencing, information and communication technology, etc.) for the purpose of generating business value and improving performance.		Superseded or obsolete	3 years	Destroy	

1200 Health Services

[\[return to Table of Contents\]](#)

Information associated with treatment & care of clients within community, acute, ambulatory care and long term care, public health services and patient support.

Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
1205	Health Services	Client Navigation	Information related to assessment, diagnosis, screening and client placement and tracking information, HealthLink and deputy minister of Health call logs, diagnostic Imaging and laboratory procedure logs.		Calendar year end	11 years	Destroy	Limitations Act section 3

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Records and Information Management (RIM@ahs.ca)

March 2022

Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
1210	Health Services	Client Registries	Information related to legacy indexes, registers or Admission Discharge Transfer (ADT) system information listing all clients treated at a health facility. Contains basic client information such as name, chart number, date of birth, gender, diagnosis, admission date and discharge or file closure date. Records may also include registry of baptisms, marriages, deaths and funerals.	Vital statistics birth & death registers are the property of Stats Canada	Calendar year end	Permanent	Permanent	Vital Statistics Act
1215	Health Services	Communicable Disease	Information related to communicable /infectious disease reporting and management. Includes pre-placement questionnaires related to staff, infectious disease control, guidelines, and statistics.		Report completed or superseded / obsolete	5 years	Selective Retention as determined by the Archivist	Public Health Act
1235	Health Services	Communicable Disease - Outbreaks	Information related to the documentation of outbreaks, mapping of clusters, and tracking sources. Includes files on specific outbreaks, epidemics, lab results, and client interviews. Includes pandemics, food poisoning.		Outbreak is controlled	25 years	Selective Retention as determined by the Archivist	Department requirement
1250	Health Services	Pastoral Care	Information related to the administration of pastoral care and provision of religious ministry. Includes client requests, correspondence.	File pastoral care patient specific clinical notes under Patient/Client Records	Calendar year end	11 years	Destroy	Limitations Act section 3

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
1260	Health Services	Patient/Client Records - Adult	Information on the assessment, diagnosis, screening and treatment of a client in an Acute care, Ambulatory care, Community care, Continuing care, Mental health, Addictions & Rehabilitation settings. Includes identity of the client, EMS patient care reports, Diagnostic testing & diagnosis, reason for health services encounter, justification for treatment and documented results.	Psychological Testing Data Is maintained as a separate record.	Date of discharge / last contact/ deceased	11years	Destroy	Hospitals Act Operation of Approved Hospital Regulation Alberta Regulation 247/90
1261	Health Services	Patient/Client Records - Clinical Trials	Information related to adults and minors participating in clinical trials. Includes assessment, diagnosis, screening, diagnostic tests and treatment, identity of the client, diagnosis, reason for health services encounter, justification for treatment and documented results.		Research completed or date of discharge / last contact/ deceased	25 years	Destroy	Health Canada Guidance for Records Related to Clinical Trials - Section 6.0
1262	Health Services	Patient/Client Records - Minor	Information on the assessment, diagnosis, screening and treatment of a client in an acute care, ambulatory care, community care, continuing care, mental health, rehabilitation setting. Includes identity of the client, EMS patient care reports, diagnosis, diagnostic testing & reason for health services encounter, justification for treatment and documented results.	Psychological Testing Data Is maintained as a separate record.	10 years past the age of majority = 28 years of age	28 years of age	Destroy	Hospitals Act Operation of Approved Hospital Regulation Alberta Regulation 247/90

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
1263	Health Services	Patient/Client Records - Genetics	Information on the assessment, diagnosis, screening and treatment of a client requiring molecular genetic testing and genetics studies. May include case files containing family history questionnaires, pedigrees, consultant notes, progress notes, growth charts and lab test results.		Date of discharge / last contact/ deceased	Permanent	Permanent	
1264	Health Services	Patient/Client Records – Clinical Long Term Records	Information related to diagnosis, assessment & treatment of clients with positive Tuberculosis or Syphilis results, clients involving Sexual Assault/Abuse, Semen Donor records, clients with mental disabilities & clients with progressive conditions/ disorders which require multiyear monitoring.	Psychological Testing Data Is maintained as a separate record	Deceased, last contact	100 yrs after last contact or 11 yrs after deceased	Destroy	Health Canada Directive: Tech Requirements for Therapeutic Donor Insemination Sec 1.3 Alberta Statute of Limitations Sec 3.1 and Sec 5
1265	Health Services	Health Product Distribution	Information related to the requests, distribution (except blood products and components), inspection, stocking and preparation of health products. Includes prescriptions and lab component and product inspections, (e.g. inventory, repackaging, refills), and narcotic control records.		Calendar year end	5 years	Destroy	Pharmacy and Drug Act Standard 73 of Standards for Operating Licensed Pharmacies, Food & Drug Act, Narcotic Control Regulations Sections 63 & 64. CSA Z902 Table 4 & 20.6.2.6 Blood Regulations Canada Gazette Part II, Vol 147 No 22 Table to Section 122 No 1 and 7

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
1270	Health Services	Pharmaceutical Mgmt – Administration & Manufacturing	Information related to direct provision of patient care. Includes records of care (e.g., administration, adapted prescriptions), and drug error records (e.g., drug incident, adverse drug events) and manufacturing (e.g., sterile and non-sterile, narcotic, and chemotherapy).	See 1260-1262 for Patient Client records	Calendar year end	11 years	Destroy	Pharmacy and Drug Act Standard 73 of Standards for Operating Licensed Pharmacies, Food & Drug Act, Limitations Act section 3
1275	Health Services	Pharmaceutical Mgmt - Special Access Drug Access Program (SAP)	Information relating to drugs unavailable for sale in Canada, obtained through the Special Access Program. Includes applications, Health Canada approvals, drug purchases and requisitions.		Calendar year end	25 years	Destroy	Special Access Drug Access Program (SAP)
1290	Health Services	Radiological Records	Information relating to working with, and the management of, radiological materials and equipment. Includes records related to the acquiring, storage, use and disposal of radiological materials and radiation generating equipment.	See Human Resources - Employee Health Records - Hazardous for dose monitoring records	Calendar year end	5 years	Destroy* Notification must be made to the Canadian Nuclear Safety Commission of the date of disposal and nature of the record at least 90 days before the date of disposal.	General Nuclear Safety and Control Regulations - SOR/2000-202 (28(2))

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
1295	Health Services	Tissue/Organ Donor Records	Donor information relating to cells, tissues and organs for transplantation. Records include: documentation of each significant step in the donor suitability assessment, documentation of donor testing for infectious disease, documentation of notification, retrieval, labeling, processing, preservation, packaging, evaluation, storage, quarantine, and distribution, the identity of the person(s) performing the work and the dates of the various entries, the test results and interpretation of the test results, a complete history of the work performed and the ability to track records to the particular cells, tissues, and organs involved, the records of adverse events, problems, complaints, corrective actions, deviations from SOP manuals, and product deficiencies, the date and personnel involved in each phase of the process, i.e., from the time of donor screening and cell, tissue, or organ retrieval to the final disposition of the cells, tissue, or organ, the donor log, where applicable; and, the destruction or other disposition of unsuitable or unused cells, tissues, or organs.	Eye bank donor records must be kept permanently.	Date of Transplantation, distribution or destruction of expired cells, tissues or organs	30 years	Selective Retention as determined by the Archivist	Canadian Standards Association. (2003, May). Cells, tissues, and organs for transplantation and assisted reproduction: General requirements. 7.3.3. Eye Bank Association of America Medical Standards. M1.100

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1300 Laboratory Services [\[return to Table of Contents\]](#)

Information related to diagnostic laboratory testing.

Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
1302	Laboratory Services	Anatomical Pathology – Autopsy & Surgical Pathology - Minors	Samples related to testing & diagnosis of patient surgical tissues including blocks & slides from pediatric autopsy and surgical pathology cases.	Applicable to minors blocks & slides on cases from ACH only	Calendar year end	30 years	Destroy	
1304	Laboratory Services	Anatomical Pathology – Cytopathology Gynecological & Non Gynecological	Samples related to testing & diagnosis of patient surgical tissues. Includes: Slides from positive & abnormal gynecological cases, slides from all non-gynecological cases and any related cell blocks.		Calendar year end	30 years	Destroy	
1310	Laboratory Services	Anatomical Pathology Reports	Information related to the diagnosis of disease based on the gross, microscopic, chemical, immunologic and molecular examination of organs, tissues, and whole bodies. Includes: Surgical Pathology, Cytopathology, Bone Marrow Biopsy and Molecular Pathology.		Calendar year end	30 years	Destroy	The Royal College of Pathologists 2015
1311	Laboratory Services	Anatomical Pathology – Autopsy & Surgical Pathology Blocks & Slides	Samples related to testing and diagnosis of patient surgical tissues Includes: Autopsy, Surgical Pathology, bone marrow biopsy, molecular pathology		Calendar year end	21 years	Destroy	
1313	Laboratory Services	Anatomical Pathology - Cytopathology Gynecological	Samples related to testing & diagnosis of patient surgical tissues. Includes: negative/unsatisfactory slides & related cell blocks.		Calendar year end	5 years	Destroy	

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
1315	Laboratory Services	General Reports	Results completed for general laboratory procedures.		Calendar year end	11 years	Destroy	
1320	Laboratory Services	Heritable/Germline Testing Reports	Results or reports on testing for heritable diseases and those involving germline analysis.		Calendar year end	Permanent	Permanent	
1321	Laboratory Services	Autopsy Reports	Reports from Autopsy examinations.		Calendar year end	11 years	Destroy	
1322	Laboratory Services	Laboratory Result Records - Genetics	Records of result generation involving heritable or germline testing. Includes: worksheets, observations, work cards, printouts and requisitions.		Calendar year end	Permanent	Permanent	
1323	Laboratory Services	HPTA Records	For laboratories under the Human Pathogens and Toxins Act(Canada), Includes records for shipping & inventory of organisms (including audits) ,HPTA regulation staff training records on the HPTA regulation documents, supporting documentation for HPTA (e.g. Biological Safety Cabinet safe use, HPTA reporting, Biosecurity Plan, General Laboratory Practices).		Calendar year end	5 years (10 years if records involve an incident or that results in a failure of or compromise to biocontainment.	Destroy	Human Pathogens & Toxins Act - Canada
1325	Laboratory Services	Request Records - Non CAP Accredited	Requisitions (hard copy or electronic) requests for testing, examination or consultation NOT including: Anatomic Pathology, Cytopathology, Molecular Pathology, Genetics – Germline/Heritable testing, Newborn Screening Program (dried blood samples).		Month end/service date	3 months	Destroy	Royal College of Pathology

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
1326	Laboratory Services	Request Records Anatomic Pathology, Cytopathology & Molecular Pathology	Requisitions (hard copy or electronic) requests for testing, examination or consultation FROM the following laboratory disciplines: Anatomic Pathology, Cytopathology and Molecular Pathology.		Month end/service date	4 years	Destroy	
1327	Laboratory Services	Requisitions - Newborn Screening Program	Requisitions/Dried blood samples from Newborn Screening Program.		Month end/service date	15 years	Destroy	
1330	Laboratory Services	Request Records – CAP and/or ASHI Accredited	Requisitions - hard copy or electronic requests for testing, examination or consultation NOT including : Anatomic Pathology, Cytopathology, Molecular Pathology, Genetics – Germline/Heritable testing, Newborn Screening Program (dried blood samples).		Month end/service date	2 years	Destroy	College of American Pathologists ASHI Standard D.2.1.4
1332	Laboratory Services	Ethanol Inventory Tracking	Books, Accounts & Papers used for EI tracking		Calendar year	6 years	Destroy	Canada Excise Act 31
1335	Laboratory Services	Laboratory Result Records	Information used to generate a patient report including but not limited to: worksheets (except Cytogenetic worksheets), work cards/ accessions records, log books/non-LIS interfaced instrument printouts, critical result notification records.		Calendar year end	5 years	Destroy	

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
1340	Laboratory Services	Laboratory Transfusion Records	Final disposition records including transfused, expired, distributed and discarded units, donation code of all transfused blood components, record of release for transfusion (dispense/issue records), identification of transfusion recipients, records of transfusion records of recalls & withdrawals. Blood supplier correspondence, recipient type and screen results.		Calendar year end	50 years	Destroy	CSA Z902-20 Blood & Blood Components Standards Tables 4 & 5
1350	Laboratory Services	Transplant Recipient Records	Records generated in the course of testing for compatibility for transplant donor & recipients. Data may be used for improvement of testing and transplant practice.		Patient deceased or disposition from Transplant	5 years	Destroy	
1353	Laboratory Services	Transfusion Medicine – Pre Transfusion Samples	Date and time a recipient blood sample was drawn and phlebotomist identification.		Calendar year end	1 year	Destroy	CSA Z902-20 Blood and Blood Components Standard Table 5
1355	Laboratory Services	Transfusion Medicine – Quality Assurance Records Reports	Quality Assurance reports, product complaints and resolution. Records of inspection of blood components before release, temperatures of storage for blood components.		Calendar year end	5 years	Destroy	CSA Z902-20 Blood and Blood Components Standard Table 4
1357	Laboratory Services	Transfusion Medicine – Investigations	Investigations and reports of unexpected or serious reaction, errors and accidents that could lead to serious adverse reactions. Correspondence and reports related to look and trace back investigations.		Calendar year	11 years	Destroy	CSA Z902-20 Blood and Blood Components Standard Table 4

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
1360	Laboratory Services	Transfusion Medicine – Blood Component Transformation	Records of washing, pooling or irradiating of blood (transformation activities).		Calendar year	10 years	Destroy	CSA Z902-20 Blood and Blood Components Standard Table 4
1364	Laboratory Services	Transfusion Medicine - Critical Supplies	Transfusion Medicine critical supplies (all supplies involved in in preparation of blood components) qualifications.		Calendar year end	3 years	Destroy	Health Canada Blood Regulations Table Section 121
1365	Laboratory Services	Transfusion Medicine – Blood Component & Product Shipping Records	Blood Component and product packaging/shipping documents		Calendar year	1 year	Destroy	CSA Z902-20 Blood and Blood Components Standard Table 4

1400 Program Services [\[return to Table of Contents\]](#)

Information related to the activities association with establishing relationships with various partnering organizations to effectively work together toward a common goal or prevention and health promotion.

Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
1410	Program Services	Coordination, Planning & Delivery	Information related to aligning, coordinating and setting the plan for the development and provision of programs or services. It includes refining the operating parameters of the program/service and defining the design and administration of the program/service area including impact analysis records. May include operational departmental minutes and reports	See also Legal - Contract Management	Fiscal year end	5 years	Destroy	

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
1420	Program Services	Performance Measurement & Evaluation	The activities related to assessing the quality and effectiveness of programs or services to clients. This may be achieved through a services scorecard method or can be tracked through the maintenance of quantitative and qualitative measures of program success. Results are used to identify possible areas for improvement, examine client satisfaction with services they receive, immediate and longer term outcomes, and influence decision-making or policy formulation.	See Human Resources - Performance Management for employee related measurement. See Legal - Contract Management for contract performance monitoring	Fiscal year or completion of report/ project	5 years	Destroy	
1430	Program Services	Program Management	Information related to the planning, organizing, leading or directing, and controlling of information for the purpose of complying with regulatory and best practices to ensure availability, authenticity, and reliability to provide business value.		Calendar year end	11 years	Destroy	Health Information Act (41)

1500 Public Health [\[return to Table of Contents\]](#)

Information related to environmental health activities. Includes enteric, field operations, premises inspections, site development and consulting.

Record Code	Function	Sub function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
1510	Public Health	Disaster Response	Information related to the development of formal regional disaster plans for clients and staff during natural or manmade disasters. Includes documents related to test/drills of the plan. Also includes final reporting of disaster roll out.		Superseded or obsolete	5 years	Destroy	

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
1520	Public Health	Field Operations	Information related to site inspections and permitting of food premises, housing, social care facilities, and personal services facilities, pools. Includes waiver records, Closures, Condemnations & Health notices.		Calendar year	11 years	Destroy	Limitations Act section 3
1530	Public Health	Site Development & Consulting	Information related to the review of development or landfill sites for potential environmental or health hazards and other specialized services, such as environmental consulting and monitoring.		Calendar year	11 years	Destroy	Limitations Act section 3
1540	Public Health	Site Development & Consulting - Contaminated Sites	Information related to the review, assessment, or inspection of suspected or actual contaminated sites. Includes copies of development plans, land development reviews, drawings, lab test results related to soil samples, water samples, and air quality reviews.			Permanent	Permanent	
1550	Public Health	Surveillance	The ongoing collection, analysis and interpretation of health data, essential to the planning, implementation, and evaluation of public health practice, closely integrated with the timely dissemination of the data to those who need to know. The final link in the surveillance chain is the application of the data to prevention and control. A surveillance system includes a functional capacity for data collection, analysis and dissemination linked to public health programs. Sources of surveillance data can include disease outbreak reports and mortality and morbidity reports based on death records or laboratory diagnosis.		Superseded or obsolete	5 years	Destroy	

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1600 Research

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Information related to research studies and projects.

Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
1610	Research	Research Administration	Information related to the administration of Research & Clinical Trials. Includes research proposals, scientific evaluations - if any that accompanied the proposals , approved consent documents , progress reports submitted by the principal investigators , reports of injuries to participants , amendments, if any, to the research protocols, consent forms , minutes of the REB meetings, records of continuing review activities, correspondence between the REB, REB Secretariat, Office of the Assistant Deputy Minister and the principal investigators, administrative records including committee minutes and agendas, policies, reports, documents relating to inquiries and disciplinary action concerning violations of the AHS code of research conduct.	Only AHS funded Research Studies to be stored by AHS	Research completed	15 years	Destroy	Health Canada Research Ethics Board Administrative Policy and Procedures Manual, January 2009.
1620	Research	Research Studies	Information related to applications for research not involving clinical trials. Includes methodologies, research data and reports, research protocols including all data relating to patient diagnostic and treatment procedures and outcomes. Includes notes in day books, recordings, printouts, questionnaires, surveys and other raw data, decoder files and other material products including slides, pictures and x-rays.	All source data including data collection sheets must be retained. Researchers are responsible for being aware of any specific data retention requirements applicable to their particular research. Financial Records to be kept separate for 7 years. Only AHS funded Research Studies to be stored by AHS.	Research completed	5 years Financial Records 7 years	Selective Retention as determined by the Archivist Financial Records - Destroy	

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Record Code	Function	Sub Function	Description	Notes	Closure Rule	Total Retention	Final Disposition	Legal Reference
1630	Research	Clinical Trials	Investigations in respect of medical devices or a drug for use in humans that involves human subjects and that is intended to discover or verify the clinical, pharmacological or pharmacodynamics effects of the drug, identify any adverse events in respect of the drug or device, study the absorption, distribution, metabolism and excretion of the drug, or ascertain the safety or efficacy of the drug or device. Includes methodologies, clinical research data and reports, clinical research protocols including all clinical trials data relating to patient diagnostic and treatment procedures and outcomes, diagnostic imaging reports, copies of patient/client records of clients involved in Clinical Trials.	All source data including data collection sheets must be retained. Only AHS funded Research Studies to be stored by AHS	Research completed or data of last action on the file	25 years	Destroy	Food and Drug Regulations [C.05.012], C.R.C., c. 870, (Food and Drugs Act)

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Glossary of Records Management Terms

Cross-reference means a notation in a file or on a list showing that a record is located elsewhere or an entry directing attention to one or more related entries. May be referred to as “see also”.

Electronically Stored Information (ESI) means data that is recorded or stored on any medium in or by a computer system or other similar device and that can be read or perceived by a person or a computer system or other similar device. It includes a display, printout or other output of that data.

Inactive record means a record that is not required for day to day operations; it may be required for occasional reference but should be stored in an offsite location.

Official Record means the primary record that has been designated as the official record of business and is sometimes also referred to as the Master Copy.

Record means documents, data or information of any kind, in any medium (e.g., paper, digital, and audio-visual media), and in any format (e.g. documents, spread sheets, databases, emails, blogs, wikis, and website pages) created, received, recorded, and maintained by Alberta Health Services as part of its services or business. This definition includes health records, but does not include computer software or any mechanisms that produce Records.

Records Retention Schedule means a register of Records (or Record units) designating how long and where Records will be maintained and documents all transfers and destruction of Records.

Records Series means a collection of related information which is used and described the same way - e.g. Accounts payable, taxes

Transitory Record means a document of very short term use and significance with no archival value. Such documents contain information which is not required to meet legal obligations or operational functions once its immediate purpose has been served. A Transitory Record is not part of the official record keeping system. See ***AHS Transitory Records Procedure***.

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AHS Records Retention Schedule

Footnotes to the Schedule

Closure Rule means an event that triggers when the retention period starts – eg. Calendar or fiscal year end, date of last contact, discharge date, date of termination, superseded / obsolete etc.

Final Disposition means the final administrative action taken with regard to records, including destruction, or permanent preservation.

- **Archives** = permanent retention in AHS Archives or long term storage.
- **Selective Retention** = retention of selected records in AHS Archives or for a longer period in long term storage.
- **Destroy** = records destruction following the guidelines in the AHS Destruction Procedure.

Office of Record means the office, unit, or department which owns or which is directly responsible for maintaining the Record or official copy of a particular Record in the organization.

Security means a security classification code relating to the sensitivity of AHS information.

Vital record means records essential to the continued functioning of an organization during and after an emergency, documenting the essential rights and interests of the organization, employees, clients, and the public.

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RRS Record of Amendment

Approval Date	Amendment
February 2014	0110 – Accountability
December 2011	0170 – Governance Reporting
December 2011	0321 - Risk Management – Incident Reporting, Investigations – Minors
February 2014	0370 – Driver Records
December 2011	0500 – Education
February 2014	0870 – Staff Scheduling – Change to Description
December 2011	1220 – Communicable Diseases – Tuberculosis & Syphilis
December 2011	1230 – Communicable Diseases – Immunizations – Minors
December 2011	1241 – Diagnostic Imaging & Testing – Clinical Trials
December 2011	1242 – Diagnostic Imaging & Testing – Minors
December 2011	1256 – EMS Patient Records – Minors
December 2011	1261 – Patient/Client Records – Clinical
December 2011	1262 – Patient/Client Records – Minors
December 2011	1263– Patient Client Records – Genetic Clinical Records
December 2011	1265 – Health Services – Pharmaceutical Management – Distribution
December 2011	1285 – Psychological Testing Reports - Minors
February 2014	1310 – Anatomical Pathology Reports
February 2014	1311 – Anatomical Pathology – Surgical Blocks/Slides
February 2014	1313 - Anatomical Pathology – Cytology Blocks/Slides
February 2014	1314 - Anatomical Pathology – Autopsy Blocks/Slides
February 2014	1320 – Heritable/Germline Testing Reports
February 2014	1321 – Autopsy Reports
February 2014	1322 – Laboratory Result Records – Genetics
February 2014	1325 – Request Records – Non-CAP Labs
February 2014	1326 – Request Records – Containing Clinical/History Information on Requisition
February 2014	1327 – Requisitions – Newborn Screening
February 2014	1330 – Request Records – CAP
February 2014	1335 – Laboratory Result Records

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Approval Date	Amendment
February 2014	1340 – Laboratory Transfusion Records
February 2014	1350 – Transplant Recipient Records
February 2014	1355 – Transfusion Medicine Audit Reports
February 2014	1364 – Transfusion Medicine – Critical Supplies
February 2014	1610 – Research Administration
February 2014	1620 – Research Studies
February 2014	1630 – Clinical Trials
May 2014	0360,0550,1310,1311,1313,1315,1320,1325,1335 - Removal of Reference to “College of Physicians & Surgeons of Alberta as Legal Reference
May 2014	1326,1327 & 1330 – Change Closure rule to Month end/Service Date
August 2014	1325 – Request Records – Non-CAP Labs – Change to Description
August 2014	1326 – Request Records – Containing Clinical/History Information on Requisition – Change to Description
August 2014	1330 – Request Records – CAP – Change to Description
November 2014	0610 – Asset Management – Change “operation & Maintenance” to acquisition & management
November 2014	0680 – Property Management – Remove vehicles
November 2014	0880 – Volunteer Practicum Administration – Change to Description & Notes
November 2014	1302 – Anatomical Pathology – Autopsy Blocks & Slides – Minors – New Sub function
November 2014	1304 - Anatomical Pathology – Cytopathology Gynecological & Non Gynecological – New Sub function
November 2014	1311 – Anatomical Pathology – Surgical Blocks & Slides – Remove autopsy/change in Total Retention requirement
November 2014	1313 – Anatomical Pathology – Cytology Blocks & Slides – Change Description – remove negative/unsatisfactory Change Sub function – Anatomical Pathology – Cytopathology – Gynecological Change in Total Retention requirement
November 2014	1314 – Anatomical Pathology – Autopsy Blocks & Slides – Change Sub function to Autopsy Blocks & Slides – Adult/ Change description

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Approval Date	Amendment
November 2014	1321 – Autopsy Reports – Delete Sub function – Autopsy Reports
November 2014	1430 – Program Management – Modified Description
February 2015	0710 – Finance – General Ledger – Modified Description & Notes
February 2015	0711 – NEW Finance – Accounting – Financial Reporting & General Ledger Supporting Documentation
February 2015	0726 – NEW Finance – Unclaimed Checks
February 2015	1314 – Autopsy Blocks & Slides – Adult – Change Retention to 30 yrs
February 2021	0110 – Change Closure to Calendar year end
	0170 – Change Retention to 11 yrs S/R
	0240 – Change Retention to 30 yrs D
	0320 – Descriptor updated
	0321 – Descriptor updated, Change Retention to 10 years past the age of majority = 28 years of age
	0420/0430/0440/0450/0460/0470 – Change Retention to 3 yrs
	0480 – Change Retention to 5 Yrs CY
	0510 – Change Retention to 50 yrs
	0520 – Change Retention to 50 yrs S/R
	0530 – Add Note for Formal Certificates
	0540/0550 – Merge into 1 record code(0540) and change Retention to 5 yrs
	0630 – Change Retention to 5 yrs
	0645 – Change Retention to CY
	0650 – Records Code deleted warranties added to 0780
	0660 – Notes updated
	0675 – Merged with Record Code 0670
	0780 – Updated Description
	0805 – Change Retention to 5 yrs
	0810 – Merge with Record Code 1110
	0855 – Change Retention to 50 yrs
	0865 – Add Legal Reference

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Approval Date	Amendment
	0915 – Change Retention to 5 yrs
	0930 – Change Retention to 3 yrs
	0940 – Change Retention to 3 yrs
	0950 – Change Retention to 11 yrs, revise description
	0960 – Update description
	1140 – Change Retention to 3 yrs
	1210 – Update description
	1215 – Update Description
	1220 – Update Description
	1235 – Change Retention to 25 yrs
	1225/1240/1255/1260/1280 – Combine under Record Code 1260
	1230/1242/1256/1262/1285 – Combine under Record Code 1262 Change retention to 28 yrs, change closure rule conditions
	1241 – Merge to Record Code 1261
	1245 – Remove Record Code
	1260 – Change Description
	1262 – Change Description. Change retention to 10 years past the age of majority = 28 yrs of age, change closure rule conditions
	1264 – New Record Code – Long Term Clinical Records
	1302 – Changed Description
	1310 – Remove Autopsy from description
	1311 – Change Description & Retention requirements
	1314 – Delete Record Code – Combined with 1311
	1323 – New Record Code – HPTA Records
	1330 – Amended Sub-Function Title
	1332 – New Record Code – Ethanol Inventory Tracking
	1340 – Changed Description & Legal Reference
	1353 – New Record Code – Pre Transfusion Samples
	1355 – Change Subfunction Title, Retention requirements, Update Legal Reference

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Approval Date	Amendment
	1357 – New Record Code – Transfusion Medicine - Investigations
	1360 – Transfusion Medicine – Blood Component Transformation
	1364 – Change Retention, Update Legal Reference
	1365 – New Record Code – Transfusion Medicine – Blood Component & Product Shipping Records
	1410 – Change Closure to FY
	1420 – Change Closure to D
November 2021	0645 – Change Closure to Equipment Obsolete/Replaced; Update legal references
March 2022	1310 – Remove Autopsy from description

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AHS Records Retention Schedule