

Policy and Procedures

<u>Policy Title:</u>	Record Retention and Destruction Policy
<u>Policy Statement:</u>	This policy provides for the systematic review, retention and destruction of documents received or created by in connection with the transaction of organization business. Records should not be kept if they are no longer needed for the operation of the business or required by law. This policy defines records that warrant special consideration, as needs to keep documents that preserve institutional history for strategic planning, regulatory compliance, and legal purposes. This policy is also designed to eliminate accidental or innocent destruction of records and to facilitate operations by promoting efficiency and freeing up valuable storage space. This policy covers all records and documents, regardless of physical form or storage location and contains guidelines for how long certain documents should be retained and how records should be destroyed.
<u>Definitions:</u>	DOCUMENT RETENTION: follows the document retention procedures outlined in Attachment A and the storage procedures outlined in Attachment B. Documents that are not listed but are substantially similar to those named in Attachment A will be retained for a similar length of time.

GENERAL GUIDELINES

Records should not be kept if they are no longer needed for the operation of the business or required by law. Unnecessary records should be eliminated from the files. [Include language from state practice acts about record retention if applicable]. From time to time, may establish retention or destruction policies or schedules for specific categories of records to ensure legal compliance, and to accomplish other objectives, such as preserving patient medical records, intellectual property and cost management.

While minimum retention periods are established, the retention of the documents identified below and of documents not included in the identified categories should be determined primarily by the application of the general guidelines affecting document retention, as well as the exception for litigation relevant documents and any other pertinent factors.

EXCEPT FOR LITIGATION RELEVANT DOCUMENTS: expects all officers, directors, and employees to comply fully with any published records retention or destruction policies and schedules, provided that all officers, directors, and employees to comply fully with any published records retention or destruction policies and schedules, provided that all officers, directors, and employees should note the following general exception to any stated destruction schedule: If

believes, or informs the officers, directors, and/or employees, that 's records are relevant to litigation, or potential litigation (i.e. a dispute that could result in litigation), then must preserve those records until it is determined that the records are no longer needed. This exception supersedes any previously or subsequently established destruction schedule for those records.

ELECTRONIC DOCUMENTS AND RECORDS:

maintains an electronic retention system to maintain documents which support organizational operations and activities. All electronic records are retained in accordance with Attachment A and stored in accordance with Attachment B. A back-up and recovery system has been established to safeguard these documents. All systems are backed up daily. Daily back-ups are retained for one week, with a weekly back-up retained for one month, and a monthly back-up retained for one year. Back-up copies of corporate records are retained electronically and stored at a secure secondary location. For those documents where electronic record retention is not possible, paper documents shall be stored at a designated, secure secondary location.

PAPER DOCUMENTS AND RECORDS:

Paper records will be retained within the respective work group as required by the type of record as listed on Attachment A. When records are no longer needed to support current operations, and such documents cannot be stored electronically, such records will be boxed, labeled, and transferred to long-term storage in accordance with the storage procedure outlined in Attachment B.

DOCUMENT DESTRUCTION:

Destruction of confidential business, personnel or patient records will be accomplished by shredding. Shredding collection bins are available at all locations for disposing of temporary but confidential records. will maintain a contract arrangement with an outside vendor to provide on-site shredding services. All shredding shall occur onsite by outside vendor. Any questions related to the appropriateness of shredding documents should be addressed by the employee's supervisor, with questions escalated to the Privacy Officer, Chief Financial Officer (CFO), Chief Operating Officer (COO), or Chief Executive Officer (CEO) as appropriate. Records in long-term storage shall be monitored by maintenance staff, with destruction scheduled and supervised according to the "destruction year" marked on the storage box. (See Attachment B)

Under the HIPAA Privacy Rule (45 CFR, Parts 160 and 164), when destruction services are outsourced to a business associate, the contract must provide that the business associate will establish the permitted and required uses and disclosures and include the following elements:

- The method of destruction or disposal;
- Safeguards against breaches;
- Indemnification for the organization or provide for loss due to unauthorized disclosure;
- Require the business associate to maintain liability insurance in specified amounts at all times.

Document destruction will be suspended immediately by the CEO or designee upon any indication of an official investigation or when a lawsuit is filed or appears imminent. No records specified in any legal hold, or any possible relevant documents and sources may be destroyed even if the scheduled destruction date has passed, until the legal hold is withdrawn in writing by the CEO or designee.

COMPLIANCE:

takes seriously its obligations to preserve information related to corporate, financial, personnel and client documentation. In addition, it is a federal crime to alter, cover up, falsify, or destroy any document to prevent its use in an official proceeding, litigation, or audit.

Failure on the part of employees to follow this policy can result in possible civil and criminal sanctions against and its employees, directors, and officers. In addition, failure to comply with this policy may result in disciplinary actions against responsible individuals up to and including termination of employment.

ATTACHMENT A

The following are the required time periods and storage sites for paper and electronic documents. Documents retained beyond the period indicated in the chart below may be destroyed periodically, taking into consideration constraints on storage space and staff time.

RECORD	MINIMUM RETENTION PERIOD	LOCATION(S)
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*Adopted the document retention requirements published by the National Council of Non-Profit Associations, 2004

FINANCE (ACCOUNTING AND PATIENT FINANCIAL SERVICES):

Accounts Payable invoices, employee reimbursements and 1099s	7 years	Administration Electronic Storage
Accounts Receivable and patient billing records	10 years after date of service	Administration Electronic Storage
Annual filings with government agencies	7 years	Administration Electronic Storage
Audit Reports	7 years	Administration Electronic Storage
Contracts	7 years	Administration Electronic Storage
IRS 990 Form	7 years	Administration Electronic Storage
Leases	7 years after expiration	Administration Electronic Storage
Medicare Cost Reports (after final Cost Settlement)	3 years	Administration Electronic Storage
Payroll Records, including form W-2	2 years 5 years	Administration Electronic Storage
Records supporting financial transactions in the accounting records	Until after the fiscal year audit	Administration
Tax Returns – All	7 years	Administration Electronic Storage
UDS Reports and supporting documentation	3 years	Administration Electronic Storage

(Note: Additional years may be retained if there is sufficient storage space)

CORPORATE:

Annual Reports	Permanent	Administration
Articles of Incorporation & By Laws*	Permanent	Administration
Board Minutes & Board Committee Minutes*	Permanent	Administration

Correspondence, customers & vendors*	2 years	Administration Cr & Coll
Correspondence, General*	2 years	Administration
Correspondence, (Legal, Tax, Important matters)*	Permanent	Administration
Donor records & acknowledgement records	7 years	Administration Electronic Storage
Foundation documents	3 years As prescribed by foundations	Administration Storage
Insurance Policies, Dir & Officers, Prop, Liability (expired) (Excludes employee benefit policies - See HR section)	10 years	Administration Electronic Storage
Insurance Claims - Prof Liability*	Permanent	Administration
Insurance Claims - Property*	Permanent	Administration
Mortgages & Notes*	Permanent	Administration
PHS Grant Documents	3 years past the grant termination date unless otherwise noted by the granting agency. Generally, the records are kept permanently. Permanent	Administration Storage

FACILITIES/OPERATIONS:

Construction documents	Permanent	Administration
Deeds*	Permanent	Administration
Easements	Permanent	Administration
Facility plans/blueprints	Permanent	Administration
Fire Inspection reports	7 years	Administration
Permits	Permanent	Administration
Real Estate Records	Permanent	Administration
Surveys	Permanent	Administration
Zoning	Permanent	Administration

HUMAN RESOURCES:

Affirmative Action Plans	3 years	Administration
Compensation Plan Documents	3 years	Administration
EEO-1 Report	3 years	Administration
Employment applications, recruitment notices, ads, employment tests, job order, interview notes, etc.	3 years	Administration
Group Health Insurance policies (expired)	3 years after plan termination	Administration
Handbook policies	3 years from last change	Administration
1-9 Forms	3 years after termination	Administration

OSHA log, forms, sharps injury logs	5 years	Administration
Employee exposure, medical exams required by OSHA	30 years after termination	Administration
Pension & retirement records	10 years Permanent	Administration Storage
Personnel files, general personal & position information, performance eval, contracts, garnishments, handbook acknowledgement Confidential file-health ins information, COBRA, EEOC, FMLA, disability claims, training records	7 years after termination	Administration
Student/Volunteer records	3 years	Administration
VETS-4212 Report	3 years	Administration
W-2 statement*	7 years	Administration
W-4 Tax Withholding	7 years	Administration
Workers Comp Claims & Serious Incident Reports	10 years	Administration

PATIENT RECORDS:

Appointment/Schedule Books - Paper	2 years 5 years	Clinic Storage
Appointment/Schedule Books - Electronic	7 years for adults, 7 years past the age of majority for minors from last date of service	EPIC
Chart - Electronic	7 years for adults, 7 years past the age of majority for minors from last date of service	EPIC
Chart - Paper	7 years for adults, 7 years past the age of majority for minors from last date of service	Clinics
Claims - 3 rd Party - Electronic	2 years	Cr & Coll
Claims - 3 rd Party - Paper	5 years	Storage
Encounter/Charge Form	2 years 5 years	Clinics Storage
Insurance Rosters - PPO plans	2 years 5 years	Cr & Coll Storage
Lab reports - Electronic	2 years from last date of service	EPIC
Month-end Closing Reports - Clinic	2 years	DP
Pharmacy/Drug Information	2 years from last date of service	Etreby
Receipts	2 years	Clinics

	5 years	Storage
Registration - electronically scanned	7 years for adults, 7 years past the age of majority for minors from last date of service	EPIC
Remittance Advices - Explanation of Benefits - 3 rd party	2 years 5 years	Cr & Coll Storage

ATTACHMENT B

The following procedures have been established to accommodate the storage and management of necessary records that TR must retain for a specific number of years and/or permanently. Contact the Purchasing/Accounting Specialist in Administration if you are unsure of the retention requirements or need assistance in properly identifying and storing any documents.

1. Review Attachment A to determine the documents that need to be stored and the years to store each type of document.
2. When possible, store like documents and/or those with the same destruction period.
3. If the documents are in paper format, use banker's boxes for storage and clearly mark each storage box with information on contents and year of destruction.
4. Determine the year that the box can be destroyed. If you have a partial year or are unsure which month to use, use the end of the year as the starting point. See example below:

Jan - June 2000 Appt Books Destruction Date: 2008

5. On the label section of the banker's box, complete the following:
Identify the contents being stored.
Identify the time period of the stored documents.

In the lower right-hand corner **in red**, identify the year the contents can be destroyed or mark "Permanent."

Example

STORAGE BOX	
12/31/2015 PERSONNEL	
EMPLOYMENT APPLICATIONS	
	2019

EMPLE