

ST. CLAIR COUNTY COMMUNITY MENTAL HEALTH AUTHORITY

ADMINISTRATIVE PROCEDURE

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SECTION Records	SUBJECT Record Retention and Disposal - Administrative and Case Record		
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I. APPLICATION:

- SCCCMH Board
- SCCCMH Providers & Subcontractors
- Direct-Operated Programs
- Community Agency Contractors
- Residential Programs
- Specialized Foster Care

II. PURPOSE STATEMENT:

St. Clair County Community Mental Health (SCCCMH) must maintain all administrative and clinical records, in order to fully document and disclose the extent of service provision and the expense of public funds.

III. DEFINITIONS:

- A. Administrative Record: This includes all fiscal, reimbursement, personnel, agency committee, and Board materials maintained in records.
- B. Clinical (Medical) Record: This includes individual consumer records, documenting all treatment planning materials and related materials.
- C. Disposal: For the purpose of this administrative procedure means shredding paper files or deleting electronic files.

IV. STANDARDS:

- A. Unless otherwise indicated in this administrative procedure, records are to be retained for twenty (20) years from the date of last service for electronic clinical (medical) records and seven (7) years from the creation of administrative records. Records, regardless of format, must be properly retained and remain accessible during the entire retention period.
- B. Malicious destruction of administrative or consumer records including electronic media, computer hardware, hard copy or electronic versions will result in immediate corrective or disciplinary action. The degree of disciplinary action imposed is determined by the severity of the offense.
- C. The destruction of applicable records is to immediately cease in the event of:

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1. Receipt of a Freedom of Information Act (FOIA) request
2. Litigation initiated against SCCCMH
3. An audit
4. An investigation

D. Protected Health Information will be disposed of utilizing a proper disposal method according to HIPAA Privacy and Security Rules. In addition, staff will be trained in those proper disposal methods according to 45 CFR 160.103.

V. PROCEDURES:

A. Administrative or Clinical Records

Staff

1. Ensures retention or disposal of records in accordance with this administrative procedure and Exhibit A, "Record Retention/Disposal Guidelines."

VI. REFERENCES:

- A. Records Reproduction Act, Public Act 116 of 1992, as amended.
- B. State of Michigan Department of History, Arts and Libraries – Record Management, Records Retention and Disposal Schedule, GS20 Community Mental Health Services Programs.
- C. HIPAA-45 CFR 164 et sec.
- D. IRS Records Retention Guidelines

VII. EXHIBITS:

- A. Record Retention/Disposal Guidelines

VIII. REVISION HISTORY:

Dates issued 05/88, 06/91, 10/93, 03/97, 02/99, 02/01, 04/05, 03/06, 02/09, 09/12, 11/13, 03/15, 05/16, 05/17, 05/18, 05/19, 09/20, 07/22, 09/23.

RECORD RETENTION/DISPOSAL GUIDELINES

Administrative Records	Retention/Disposal
SCCCMH Board: Minutes, Annual Reports	Maintain indefinitely
SCCCMH Board: Agendas, Meeting Packets, and Independent Audits	Dispose of after 7 years
Utilization Management Committee/ Team: Contract Agency Audit Reports, Meeting Minutes	Dispose of after (2) years (dispose of specific case reviews after inclusion in report)
Utilization Management Committee/ Team: Program Audit Reports	Dispose of after 7 years
Job Postings (including applications and selection records)	4 years – then discard
State of Michigan New Hire Reporting Form	2 years - then discard
INS form I-9	3 years after date of hire or 1 year after termination
Employee Personnel Files – Regular	Dispose of 7 years after employment ends
Employee Personnel Files (confidential material only) - Medical, Bloodborne Pathogens Exposure	Dispose of 30 years after employment ends
All CMH Administration Staff Correspondence, Reports, etc.	Dispose of 7 fiscal years after creation
W-2's (W-2's are saved electronically in ADP), Retirement Records	Maintain indefinitely
Finance: Payroll Register, timesheets, accounts payable, accounts receivable and compliance	7 years – then discard
IRS – 941's (Employer's Quarterly Federal Tax Return)	Dispose of after 4 years
Legal records	10 years – then discard
Workers Disability Compensation Files	10 years – then discard
Training Transcripts	7 years – then discard
Specialized Training Files (including Continuing Education Credits)	7 years – then discard
Training Tests	Dispose of after 1 year, except for Physical Intervention/CPI training and Return Demonstration records, which are kept for 3 years, then discarded.
Committee Meeting Materials (Are saved electronically)	2 years after creation (dispose of by fiscal year)
Privileging & Credentialing Committee Files	7 years after creation – then discard
Contracts, Amendments, Expense Reports	7 years – then discard
Purchase Requisitions and Purchase Orders	7 years – then discard

RECORD RETENTION/DISPOSAL GUIDELINES

Policies and Procedures	7 years after date of issue – then discard
Grant Records	7 years after grant expiration – then discard
RFI's, RFP's	5 years – then discard
Recipient Rights Files	10 years – then discard
Grievance and Appeals Documents (non-Recipient Rights)	7 years – then discard
Safety Data Sheets	30 years – then discard
Program Level Administrative Records	Retention/Disposal
General Correspondence of any CMH Administration Staff to Programs	1 year at program, then discard
Program Level Correspondence (staff meeting materials)	1 year - then discard
Evacuation Difficulty Index/ E-Scores/Evacuation Drills	2 years (current fiscal year and previous fiscal year) – then discard
UIRs/HRC Reports, Recipient Rights Complaints	ORR Office File for 10 years – then discard (Note: Since these are done electronically, no copy needs to be retained at the program site.)
Screenings: Jail, OBRA, Early On (that do not result in the opening of services)	2 years at program– then destroy
Clinical Case Records	Retention/Disposal
Open Case Records (Direct-Operated and Contract Agencies)	All documents of individuals served collected or generated outside of the EHR (OASIS) are to be forwarded for scanning/uploading into the EHR upon receipt or completion. Hardcopy original will be destroyed 14 days following scan/upload into the EHR. No paper records are to be created.
Closed Case Records	All closed records are retained electronically on a server as part of the SCCCMH Archive Storage process, for 20 years after closing. Dispose of closed case records involving litigation 10 years after litigation ends but not prior to 20 years after closing.