

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:

- ☐ SCCCMHA Board
- ☐ SCCCMHA Providers & Subcontractors
- ☒ Direct-Operated Programs
- ☒ Community Agency Contractors
- ☒ Residential Programs
- ☒ Specialized Foster Care

II. PURPOSE STATEMENT:

St. Clair County Community Mental Health Authority (SCCCMHA) shall 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/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 (FOIA) request;
2. Litigation initiated against the CMH;
3. An audit; or
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

Designee

1. Ensures retention/disposal of records in accordance with this administrative procedures 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 (multiple sections).
- 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.

RECORD RETENTION/DISPOSAL GUIDELINES

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

RECORD RETENTION/DISPOSAL GUIDELINES

Policies and Procedures	7 years after date of issue – then dispose
Grant Records	7 years after grant expiration – then dispose
RFI's, RFP's	5 years – then dispose
Recipient Rights Files	10 years – then dispose
Grievance and Appeals Documents (non-Recipient Rights)	7 years – then dispose
Safety Data Sheets	30 years – then dispose
Program Level Administrative Records	Retention/Disposal
General Correspondence of any CMH Administration Staff to Programs	1 year at program, then dispose
Program Level Correspondence (staff meeting materials)	1 year - then dispose
Evacuation Difficulty Index/ E-Scores/Evacuation Drills	2 years (current fiscal year and previous fiscal year) – then dispose
UIRs/HRC Reports, Recipient Rights Complaints	ORR Office File for 10 years - then dispose (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 Run & Contract Agencies)	All consumer documents collected or generated outside of the EHR (OASIS) are to be forwarded for scanning/uploading into the EHR upon receipt and/or completion. Hardcopy original will be destroyed 30 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 CMH 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.