

## RECORDS RETENTION

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SUBJECT:	<u>Records Retention Policy</u>
EFFECTIVE DATE:	<u>4/2009</u>
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### Policy Statement:

Davis Behavioral Health will retain all records in accordance with the following standards:

All records shall be retained for the period required by applicable state and federal laws and regulations.

All records necessary for business reasons shall be retained for a period of time that will reasonably assure the availability of those records when needed.

Records vital to the ongoing operation of the business shall be identified and appropriately safeguarded.

In order to reduce the high cost of storing, indexing, and handling the vast number of documents that would otherwise accumulate and to maximize the performance of the computer systems, all records not necessary for legal or business reasons and not required to be retained by law or regulation shall be destroyed at the end of the calendar year in which the applicable retention period set forth in the attached Record Retention Schedule expires.

Destruction of records shall take place only in compliance with DBH's written policy.

Documents that are not otherwise subject to retention for business reasons may need to be retained because of unusual circumstances, such as litigation or a government investigation. If for any reason it is felt that an unusual circumstance exists or arises, legal counsel and the corporate compliance officer shall be notified immediately. When litigation or investigations occur, legal counsel or the corporate compliance officer will notify the appropriate departments and direct that relevant categories of documents be labeled for retention until further notice.

### Procedures:

- 1) All department heads, program supervisors and records maintenance personnel will be aware of and follow the approved retention schedule and record naming conventions.
- 2) Files will be prepared for storage in accordance with the retention schedule on an ongoing basis or fiscal year as needed.
- 3) File names will include the following:
  - a. Origination date
  - b. Document name or content

- 4) A catalog of all stored records will be maintained and available for search requests.
- 5) Requests for stored information must be approved by authorized administrative and records custody personnel.
- 6) A record of checked out records noting requestor and location for use must be maintained.
- 7) Files checked out of storage must be secured at all times and returned to storage as soon as possible.
- 8) Records with expiration dates will be destroyed in a timely manner using appropriate destruction methods.

DAVIS BEHAVIORAL HEALTH, INC.  
RECORDS RETENTION SCHEDULE

DESCRIPTION	YEARS
Correspondence, general	2
Correspondence, routine with customers/vendors	2
Employment applications (recruitment process)	6 months
Bank statements	PERMANENT
Employee personnel records (after termination) Hard Copy Electronic Copy	1 PERMANENT
Internal audit reports	7
Accounts payable ledgers and schedules	7
Cash receipt copies	3
Contracts and leases (expired)	7
Explanation of benefits/cash payments from insurance companies	5
Inventory records	3
Invoices to customers or from vendors	5
Subsidiary ledgers	5
Time cards	5
Vouchers for payments to vendors, employees, etc (includes allowances and reimbursement of employees, officers, etc, for travel and expense reimbursement)	5
Accounts receivable ledgers and schedules	7
Clinical records adult substance abuse and medical records except for discharge summary	10 years after discharge date if no legal actions pending

Discharge Summary from clinical record of adult substance abuse and/or mental health	PERMANENT
Clinical records children & youth substance abuse and medical records except for discharge summary	Longer of 10 years or 4 years after age of 18, but not less than 7 years from date of discharge if no legal actions pending
Discharge Summary from clinical record of children & youth substance abuse and/or mental health	PERMANENT
Documents relating to uses and disclosures of protected health information: authorization forms, notices of information practices, responses to clients who want to amend or correct their information, client statements of disagreement, and complaint records	6
Independent Financial and Legislative Audit reports	PERMANENT
Chart of accounts	PERMANENT
Contracts and leases in force	PERMANENT
Correspondence on legal and regulatory matters	PERMANENT
Deeds, mortgages and bills of sale	2 years after disposal of the property
Depreciation schedules	PERMANENT
Financial statements (year-end, other months optional)	PERMANENT
General ledgers, year-end trial balances	7
Insurance records, accident reports, claims, policies, etc.	7
IRA and Keogh plan contributions, rollovers, transfers and distributions	PERMANENT
Legal entity organizational documents, bylaws and board minutes	PERMANENT
Payroll records	7
Property records, including costs, depreciation reserves, year-end trial balances, depreciation schedules, blueprints, and plans	2 years after disposal of the property
Tax returns, revenue agents' reports, and other documents relating to determination of income tax liability	PERMANENT