

 <p><b>HAWAII HEALTH SYSTEMS</b> CORPORATION <i>"Touching Lives Everyday"</i></p>	<p><b>Quality Through Compliance</b></p>	<p>Policy No.:</p> <p><b>CMP 008B</b></p>
		<p>Revision No.:</p> <p>2</p>
<p><b>PROCEDURES</b></p>	<p>Issued by:</p> <p>Chief Compliance and Privacy Officer</p>	<p>Effective Date:</p> <p>October 13, 2011</p>
	<p>Subject:</p> <p><b>Retention of Records</b></p>	<p>Approved by:</p> <p><i>Bruce S. Anderson</i></p> <p>Bruce S. Anderson HHSC PCEO</p>
		<p>Supersedes Procedure:</p> <p>N/A</p>
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I. **PURPOSE:** To establish procedures for the regular review, retention and/or destruction of records of HHSC and its various facilities (together, "HHSC").

II. **PROCEDURES:**

A. General Guidelines:

1. HHSC will maintain all medical records for the minimum period required by State and federal laws, regulations, Medicare Conditions of Participation, or as may be required by contracts to which HHSC is a party.
2. HHSC will retain its business and administrative records other than medical records (the "Other Records") for the minimum period required by State and federal laws and regulations. These records will be retained for a period of time which will reasonably ensure the availability of those records when needed.
3. HHSC will develop and maintain records management files adequate to document HHSC compliance with all relevant laws, regulations, and Medicare Conditions of Participation.
4. HHSC will destroy medical and non-medical records regularly and methodically pursuant to a standard policy so as to avoid any implication that HHSC deliberately destroyed records in anticipation of a particular problem.
5. HHSC will maintain safeguards for all record destruction procedures to ensure that the destruction of relevant records is halted immediately upon receipt of notice of investigation or legal process.
6. HHSC will ensure that records are secure and private, as appropriate. Medical records will be destroyed at the appropriate time and in such a way that confidential patient information is not subject to unauthorized disclosure.
7. HHSC will identify, safeguard, and prevent the deterioration of all vital records.

8. HHSC will maintain a policy that encompasses records maintained on electronic data processing media, as well as printed documents.

B. Records Review:

1. Annual Review: HHSC will conduct a file review and purge process on at least an annual basis. This process consists of identifying and destroying unnecessary duplicate and multiple copies of documents, including drafts; reviewing and destroying documents which have exceeded their required retention period; and identifying, grouping and labeling documents which require retention and transferring these documents to the designated Records Center or records storage site. Documents will be purged in accordance with the Records Retention Schedule attached to this policy.
2. Departing Employees: The business files of employees who are terminating their employment or transferring within HHSC will be reviewed by the employee or their supervisor concurrently with the employee's departure. These files may either be purged, if permitted under this Records Management policy, or reassigned to another employee, as appropriate.
3. Labeling and Marking: Records to be retained should be labeled and marked with a disposal date beyond the period established for retention. Records storage containers must be labeled in sufficient detail that they may be promptly and accurately identified should retrieval prove necessary. The disposal date should always be December 31 of the last year for which the file must be retained. For example, a document dated March 17, 2007 with a three-year retention period would be designated for destruction on December 31, 2010.
4. Destruction: In January of each year, it is the responsibility of each HHSC facility administrator or CEO and their designee(s) (as applicable, the "Records Managers") to review the documents at the records storage site, to determine which records have reached their disposal date, and to arrange for destruction of the documents. The destruction policy must take into account the need for confidentiality (see below).
5. Confidentiality: Patients' records, employee medical records and other records subject to confidentiality restrictions must be stored securely in a manner that ensures confidentiality. The destruction of patient medical records should be performed in a manner that ensures confidentiality, such as shredding, mutilation or incineration.
6. Documentation: Each HHSC facility will develop a log system or control form to document the following steps in the records management process:
  - Transfer of records to storage;
  - Identification, control and maintenance of records in storage;
  - Retrieval/return of records to/from storage; and
  - Destruction of records and deletion from the records inventory.

7. Conflict with Contractual Requirements: The Records Managers shall follow contract records retention requirements to the extent they exceed the records retention periods listed in the attached retention schedule or specify the retention of documents not listed in the schedule. No originals of documents related to open contracts and subject to contract retention requirements may be destroyed without the approval of the Chief Executive Officer or Administrator, who will consult with the General Counsel of HHSC as necessary.
8. Vital Records: Each facility shall identify and designate as vital records those records which: (i) are essential to HHSC; (ii) are necessary for fulfillment of obligations to employees, customers, patients or other outside interests; (iii) establish HHSC ownership of assets which would otherwise be difficult to prove, or; (iv) are those records essential to the continue functioning or reconstitution of a facility during and after an emergency such as emergency plans and directors, delegations of authority, staffing assignments, critical agency operating procedures. Vital records must be duplicated and the duplicates must be stored in an off-site location to be retrieved in the event of catastrophic document loss.
9. Electronic Storage: Records generated and maintained in HHSC information systems or equipment will be reviewed periodically, no less than annually, to ensure that the policy requirements are applied to these documents. Electronic records with permanent retention requirements may require other means of storage due to limited, changing, or evolving hardware/software development. Other guidelines for electronic storage include:
  - Assessing proprietary and non-proprietary software components to ensure access to records over retention period;
  - Establishing operational procedures and technical specifications to ensure the future usability of the system used to access electronic records;
  - Creating and maintaining of master and back-up copies of records;
  - Conducting annual statistical sampling to identify any loss of data;
  - Maintaining stable storage environment with appropriate temperature and humidity controls.
10. Investigations and Litigation: Upon HHSC's receipt of notice regarding the initiation of an investigation or the service of legal process, the HHSC Corporate Compliance Officer will notify all branches or divisions in possession of potentially relevant documents as promptly as practicable and direct them to cease the destruction of any relevant documents pending further notice that the investigation or litigation has been concluded.
11. Interpretation: Any questions regarding the application of this policy should be referred to the HHSC Chief Compliance Officer or the General Counsel, as appropriate.

C. Records Destruction:

1. All HHSC facilities shall determine the most efficient method to destroy their non-permanent records eligible for disposal. Attention must be paid to ensure that no

legally protected information, including, but not limited to, personal information, and protected health information, is recognizable or attainable after destruction.

2. Determination of the most appropriate method for destruction should take into account:
    - Recommendations from the National Institute of Standards for Use of Technology (NIST) for destruction of records.
    - Use of personal in-house shredders versus commercial shredding/disintegration methods.
    - Level of security required
    - Amount of paper or electronic records to be destroyed
  3. Destruction schedules should be maintained to document correct destruction schedules according to the established and legal requirements of the retention schedules.
  4. Medical records and other records containing protected personal information should be either internally shredded or shredded using appropriate professional services in the business of shredding confidential information.
- D. Retention Schedule: HHSC will develop and publish a "Records Retention Schedule" with updated lengths of retention for various types of records using the State of Hawaii, Department of Accounting and General Services General Record Schedule and other State and Federal laws governing retention and destruction of various records. See Attachment A.

**III. APPLICABILITY:** This policy applies to all HHSC facilities and the HHSC Corporate Office.

**IV. REFERENCE:** HHSC Policy CMP 008A and all authorities therein.

**ATTACHMENT A:** Records Retention Schedule.

## RECORDS RETENTION SCHEDULE

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TYPE OF DOCUMENT/RECORD	RETENTION TIME
Accident Reports, Claims, and Incident investigations	5 years after close of fiscal year
Accounting System: Data Entry / Input Forms	Non-Permanent
Accounts for Securities Held in Safekeeping after Return	3 years if audited, otherwise 6 years
Accounts Receivable Ledgers	3 years if audited, otherwise 6 years
Administrative Rules: Hearing Records	4 years after effective date
Alcohol and Drug Testing Records	
a. Employee alcohol test results indicating an alcohol concentration of 0.02 or greater	5 years
b. Information obtained from previous employers	3 years
c. Results of negative and cancelled drug test results	1 year
Application Data Survey Form (ADSF)	2 years from date of record creation
Application for Investments	3 years if audited, otherwise 6 years
Application for Leave of Absence	
With pay	3 years if audited, otherwise 6 years
Without pay	6 years
Appointment Approval, Request for	2 years from date of record creation
Appropriation and Budgetary Allocation Forms	3 years if audited, otherwise 6 years
Appropriation and Expenditure Reports	
a. Month-End	Retain to end of quarter
b. Year-End	3 years if audited, otherwise 6 years
Assignment of Money By Party to Whom State is Directly Indebted	3 years of audited, otherwise 6 years
Attendance & Leave Record Card	6 years
Audit Reports	
a. Financial	6 years
b. Internal Audit	8 years after fiscal year
c. Medical Record Audits	3 years
Authorization to Purchase Outside of State Procurement	6 years after completion of contract
Bank Deposit Slips/Receipts	3 years if audited, otherwise 6 years
Bank Statements and Related Records	3 years if audited, otherwise 6 years
Bids/Contracts	6 years after final payment
Bill for Collection	3 years if audited, otherwise 6 years
Budget and DPR Listing	
(Copies)	2 years then destroy
(Original)	10 years after close of fiscal biennium
Budget Development Records	6 years after close of fiscal biennium
Budget Execution Records	6 years after close of fiscal biennium
Budget Management Reports	Non-Permanent
Calibration checks on Hearing Screeners/Bill Meter	5 years then destroy
Cancelled Checks	3 years if audited, otherwise 8 years after

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	Fiscal Year
<b>Capital Improvement Projects (CIP) Appropriation &amp; Expenditure Reports</b>	Non-Permanent except 6 years for 4 <sup>th</sup> quarter report
<b>Cash Overage/Shortage</b>	3 years if audited, otherwise 6 years
<b>Cash Management Records</b>	8 years after fiscal year
<b>Cash Receipts</b>	3 years if audited, otherwise 6 years
<b>Certification of Eligibles</b>	2 years from date of record creation or final disposition of charges whichever occurs later
<b>CIP Projects</b>	10 years after final statement
<b>Civil Service Position, Application for</b>	2 years from date of record creation
<b>Claims Files</b>	Ten years
<b>Class Specifications</b>	Non-Permanent
<b>Classification &amp; Pricing Appeal Records</b>	2 years after posting to permanent record
<b>CLIA Certificates</b>	PERMANENT
<b>CME Course Descriptions</b>	6 years
<b>CME Speaker Curriculum Vitae</b>	6 years
<b>CME Speaker Disclosure Forms</b>	6 years
<b>CMS Records, contracts, subcontracts</b>	4 years
<b>Committee and Conference Files</b> <ul style="list-style-type: none"> <li>• Records of official boards, committees, advisory bodies</li> <li>• Records of other committees (internal, ad hoc) pertaining to establishment, organization, membership and policy</li> <li>• Records or other committees created by committees, agendas, minutes and related records.</li> </ul>	PERMANENT  2 years after termination of committee  3 years or when not administratively useful, whichever is shorter
<b>Competency Records</b>	3 years
<b>Computer Hardware or Software Request</b>	3 years after final action taken on request
<b>Construction Drawings, Plans, Specifications</b>	PERMANENT
<b>Contracts, Physician services</b>	10 years after termination or lapse of agreement
<b>Contracts</b> <ol style="list-style-type: none"> <li>a. Commercial customers</li> <li>b. Government (Federal, state or local prime or subcontracts)--Includes, but is not limited to:               <ul style="list-style-type: none"> <li>• Contracts and modifications</li> <li>• Vendor invoices</li> <li>• Cost or pricing data</li> <li>• Contract administration correspondence</li> </ul> </li> </ol>	10 years after termination 4 years after final payment

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<ul style="list-style-type: none"> <li>• Progress or status reports</li> <li>• Notice of changes, delays or corrective actions</li> <li>• Procurement Requests (PR)</li> </ul>	
<p><b>Contract Time, Request for Extension of</b></p>	<p>6 years after completion of contract</p>
<p><b>Corporate Records</b> Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Annual Reports</li> <li>• Articles of Incorporation</li> <li>• Board of Directors meeting minutes and notes</li> <li>• Certificate of Incorporation</li> <li>• Corporate Financial Reporting</li> <li>• Corporate Accession Lists</li> <li>• Corporate Election ballots and Records</li> <li>• Corporate Organization Charts</li> <li>• Corporate Reports</li> <li>• External Audit Reports and Work papers</li> </ul>	<p>PERMANENT</p>
<p><b>Correspondence, Duplicate Files</b> For example, such as reading, files, reference files, information files, day files, suspense files, etc.</p>	<p>Non-Permanent</p>
<p><b>Correspondence, Non Official</b> Memoranda and other papers that do not serve as the basis of official actions, such as notices of holidays or charity fund drives, saving bond campaigns, and similar papers.</p>	<p>Non-Permanent, Destroy when completed or after 3 months</p>
<p><b>Correspondence, Official, Executive</b></p> <ul style="list-style-type: none"> <li>• Policy making correspondence</li> <li>• Correspondence files relating to distinct or unique program activities</li> </ul>	<p>PERMANENT 10 years after close of file</p>

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<p><b>Correspondence, Routine</b></p> <ul style="list-style-type: none"> <li>• <b>Non-essential Correspondence.</b> Includes letters of non-essential subject matter which require no further action or reference, such as notes of appreciation or meeting plans, form letters, and duplicate copies of interdepartmental or hospital correspondence.</li> <li>• <b>General Support Material.</b> Letters of inquiry on routine matters not involving policy decisions or state liability, the answers to which complete the cycle of correspondence (also known as transitory files). Includes calendars, diaries, notepads, personal files, telephone message pads, chronological correspondence files, and other similar materials.</li> <li>• <b>Internal Administration Correspondence.</b> Documents office organization, staffing, procedures and internal communications</li> <li>• <b>Housekeeping” Correspondence.</b> Thank you letters, congratulations, etc. that do not add any new information to the agency’s mission.             <ul style="list-style-type: none"> <li>• <u>Acknowledgement Files.</u> Acknowledgements and transmittals of inquiries and requests that have been referred elsewhere for reply.</li> <li>• <u>Correspondence for Short-Term Retention.</u> Includes letters which cease to have value unless further correspondence ensues shortly, such as: (1) letters of general inquiry and replies which complete a cycle of correspondence and which have no value beyond possible reference by the correspondent within a reasonable period of time; or (2) letters requesting a specific action, such as a name or address change; or (3) complaints which have no further value after any necessary corrective action is taken.</li> <li>• <u>Correspondence for Long-Term Retention.</u> Retention period applicable to the principal record or document. Includes, but is not limited to letters that: a) constitute contracts or clarify contractual issues; b) constitute official documents or clarify issues therein; c) relate to intellectual property rights, licenses or permits, and; d) deny or affirm liability</li> </ul> </li> </ul>	<p>30 days or less</p> <p>1 year after date</p> <p>At least 6 months after date OR as needed for accreditation period and 12 months for CMS</p> <p>6 months after acknowledgement and/or referral</p> <p>Non-Permanent</p> <p>1 year or less</p> <p>Varies</p>
<p><b>Credentials: Identification &amp; Misc. (HR)</b>            Identification credentials including cards, badges, parking</p>	



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permits, photographs, agency permits to operate motor vehicles; and property, dining room and visitors passes; and other identification credentials	6 months after credentials are returned to issuing office
<b>Credential Files for Medical Staff</b> <ul style="list-style-type: none"> <li>• Appointment applications – medical staff</li> <li>• Reappointment applications – medical staff</li> <li>• Malpractice insurance verification</li> <li>• Peer review</li> <li>• Databank queries</li> <li>• Reference letters</li> </ul>	10 years after leaving medical staff
<b>Criminal History Record Clearance, Request for</b>	For current accreditation period and 12 months for CMS
<b>Daily Activities, Schedules of</b> Calendars, appointment books, schedules, logs, diaries and other records documenting meetings, appointments, telephone calls trips, visits, and other activities of State employees. <ul style="list-style-type: none"> <li>• Records containing information relating to the official activities of high-level officials which are not incorporated into memoranda, reports, correspondence, or other records included in the official files.</li> <li>• Records of other than high-level state employees</li> <li>• Routine materials, containing no substantive information, regarding daily activities</li> </ul>	10 years          2 years 1 year
<b>Daily Cycle Reports (Payroll)</b>	30 days after close of payroll period covered
<b>Data Breach Log (HIPAA)</b>	6 years
<b>Databases, Administrative</b>	Non-Permanent
<b>Departmental / Quality Performance Improvement forms (does not include employee performance improvement records—refer to DAG Schedule)</b> <div style="text-align: right;">             (Copies)              (Original)           </div>	Non-Permanent 5 years then destroy
<b>Destruction History Files</b>	PERMANENT
<b>Direct Hire Candidates, List of</b>	2 years from date of record creation or personnel action involved or final disposition of charges, whichever occurs later
<b>Direct Hire Appointment, Notification of</b>	2 years from date of record creation
<b>Directives, Manual &amp; Handbook, Official</b>	PERMANENT
<b>Discrimination Files (EEO complaints)</b>	3 years after case is closed
<b>Earned Income Credit, Advance Payment of</b>	Non-Permanent

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<p><b>Electronic Mail Records (E-mail)</b>  Messages and documents transmitted via e-mail are similar to paper documents and other forms of correspondence in that they may be considered official business records of HHSC and are therefore subject to the above rules regarding record retention.</p> <ul style="list-style-type: none"> <li>• To determine whether an e-mail message must be retained and for how long, it may be helpful to think of the message as if it had been a paper memo or document. If you would be required by the records management policy to retain that memo or document, then you are required to retain that e-mail message for the same length of time.</li> <li>• The originator/sender of the message (or the recipient of a message if the sender is outside HHSC) is the person responsible for retaining the message. E-mail messages may be retained in electronic form in the mailbox, or printed and filed along with other documents related to the same topic or project. Users may delete messages that they are not required by the above policy to retain or that are being retained in printed form.</li> </ul> <p>As with all business records, e-mail may be subject to discovery in the event of litigation. As with all communications, colleagues should avoid saying anything that might appear inappropriate or that might be misconstrued by a reader.</p>	<p>Varies with purpose</p>
<p><b>Electronic Records, Indexes</b></p>	<p>Non-Permanent</p>
<p><b>Electronic Spreadsheets</b></p>	<p>Non-Permanent</p>
<p><b>Electronic Word Processing Files</b></p>	<p>Delete when no longer needed to create hard copy</p>
<p><b>Emergency Procurement, Request for</b></p>	<p>6 years after completion of contract</p>
<p><b>Emergency Room, Medical Records for transferred patients</b></p>	<p>5 years</p>
<p><b>Emergency Room, Central log for ED patients</b></p>	<p>5 years</p>
<p><b>Employee Attendance Records</b></p>	<p>6 years</p>
<p><b>Employment Eligibility Verification</b></p>	<p>3 years from date of hire or 1 year after termination whichever is later</p>
<p><b>Employee Health Charts including Employee Records relating to exposure to toxic substances and harmful agents (e.g., asbestos, blood borne pathogens, etc.)</b></p>	<p>25 years after termination of employment or longer – check current Dept. of Labor and Industrial Relations</p>

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	Rules, Hawaii Occupational Safety and Health Division, Hawaii Administrative Rules
<b>Employee Performance Appraisal</b>	10 years
<b>Employee Selection Records: Civil Service</b>	2 years from date of record creation
<b>Employment Records</b>	
a. Advance Payment of Earned Income Credit Applications	Non-Permanent 2 years
Hiring, Promotion/Demotion, Transfer, Layoff/Termination	2 years
Test Papers	1 year
Job Advertisements	1 year
Physical Examinations	3 years
Employee Medical Records	3 years
Fringe Benefits	3 years
Employee Benefit Plans	3 years or 1 year after life of plan
Individual Contracts, Union Agreements, Sales and Purchase Records	3 years
Rates of Pay, Terms of Compensation	3 years
Time Cards	3 years
Payroll	3 years
Wage Rate Tables	3 years
Work Time Schedules	3 years
Employee Notices of Leave	3 years
Seniority and Merit Systems	3 years
Requests for Reasonable Accommodation	1 year
year	5 years
Records of Employee Injury Resulting in Death	Non-Permanent
T. Withholding Exemptions, Federal and State forms	
<b>Encumbrance forms and Related Records</b>	3 years if audited, otherwise 6 years
<b>Environmental Monitoring Records</b>	Length of employment plus 30 years
<b>Equipment Maintenance Agreement</b>	3 years if audited after end of agreement; otherwise 6 years after end.
<b>Estimated Receipts Input</b>	3 years if audited, otherwise 6 years
<b>Expenditure Report for Personnel Services</b>	30 days after close of pay period
<b>Extension of Contract Time, Request for</b>	6 years after completion of contract
<b>Event Reports</b>	6 years
<b>FAMIS: Appropriation &amp; Expenditure Reports</b>	3 years if audited, otherwise 6 years
<b>FAMIS: Appropriations and Allotments Reports</b>	3 years if audited, otherwise 6 years
<b>FAMIS: Batching Documents and Related Documents</b>	Non-Permanent
<b>FAMIS: Budget Management Reports</b>	Retain to end of quarter
<b>FAMIS: Data Entry/Input Forms</b>	Non-Permanent
<b>Fax cover sheets, fax confirmation sheets, and routine</b>	

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messages	Non-Permanent
Federal & State Withholding Exemptions	Until employee terminates
Fees & Benefits, Statement of: Non-employee	4 years
Finding Aids (Indexes, Reference Guides, etc.)	Destroy when no longer needed for reference
Forklift (Lift Truck) Safety Inspection Reports	1 year after inspection date
General Ledgers (Non-computerized)	3 years if audited, otherwise 6 years
Government Information, Formal Requests for	2 years after action on request is completed
Governor's Administrative Directives	PERMANENT
<b>Grant Case Files</b> Proposals of applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status and monitoring of grants	Comply with applicable Federal regulations.
Grant Records – Unsuccessful applications	3 years after rejection or withdrawal
Grant Records – Accepted Applications	Non-Permanent
Grievance Files	4 years after case is closed or longer if needed
Hazardous Waste Disposal Reports	PERMANENT
Health Fund Enrollment Forms	8 years after termination of employment or death
Incentive and Service Awards Program Records	5 years
Injury and illness trend analysis	5 years
In-service Records	3 years
<b>Inspection Reports</b> <ul style="list-style-type: none"> <li>• Maintenance of equipment</li> <li>• Internal environmental rounds</li> </ul>	For the life of the equipment 3 years
Instructor files (Roster, instructor candidate information)	3 years, unless outside agency imposes other retention requirements
Inventory of Property Detail	3 years
Inventory Change Register	3 years
Inventory Transaction Register	3 years
Invoices, Vendor	10 years then destroy
Job Announcements	2 years from date personnel action created or final disposition, whichever is later.
Job Descriptions	3 years
Joint Commission Workbook	4 years then destroy

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<p><b>Key Accountability Files (security records)</b></p> <p style="text-align: right;">Maximum security:</p> <p style="text-align: right;">For other areas:</p>	<p>3 years after keys are returned to issuing office</p> <p>6 months after keys are returned to issuing office</p>
<p><b>Laboratory Documents</b></p> <p>Test requisition</p> <p>Test records</p> <p>Test report (from report date)</p> <p>Pathology test report</p> <p>Quality Control records</p> <p>Copy of each test procedure</p> <p>Instrument maintenance Records</p> <p>Proficiency testing records</p> <p>Patient test results</p> <p>Accession</p> <p>Bone marrow reports</p> <p>Bone marrow smears</p> <p>Controlled substances</p> <p>Pathology slides</p> <p>Autopsy slides and reports</p>	<p>2 years</p> <p>2 years</p> <p>2 years</p> <p>10 years</p> <p>2 years</p> <p>From date of initial use to date procedure is discontinued plus 2 years</p> <p>Life of the instrument</p> <p>2 years</p> <p>2 years</p> <p>2 years</p> <p>10 years</p> <p>10 years</p> <p>3 years</p> <p>3 years</p> <p>10 years</p>
<p><b>Leave of Absence, Application for</b></p> <ul style="list-style-type: none"> <li>• With pay</li> <li>• Without pay</li> </ul>	<p>3 years if audited, otherwise 6 years</p> <p>6 years</p>
<p><b>Leave Sharing Program Records</b></p>	<p>6 years</p>
<p><b>Legislative Files</b></p> <p>Reports to Legislature and Legislative testimony (including information pertaining to operating, biennium and supplemental budget requests).</p>	<p>6 years after close of fiscal biennium to which records pertain</p>
<p><b>Liability Forms, Release of</b></p>	<p>4 years from close of record</p>
<p><b>Linen Inventory Records</b></p>	<p>3 years then destroy</p>
<p><b>Licenses (Lab, Pharmacy, Hospital, Imaging)</b></p>	<p>PERMANENT</p>
<p><b>Logs</b></p> <p>Examples: Temperature checks, ice bucket cleaning, communications, patient calls, circumcision, OB Deliveries, patient visits, infection report, event report, fern test, infant photos, Accu-Chek and Nitrazine quality control, crash cart checks, home health referral, log of 1147 dispositions, appointment books</p>	<p>5 years then destroy</p>

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<p><b>Mail Control Records</b> Includes records such as receipts for registered and certified mail sent or received; log of incoming documents that require distribution or action; log of outgoing documents.</p>	<p>1 year</p>
<p><b>Mailing Lists</b></p>	<p>Non-Permanent</p>
<p><b>Maintenance Records - Equipment</b></p>	<p>Life of equipment</p>
<p><b>Maintenance Work Requests</b></p>	<p>6 months after work completed then destroy</p>
<p><b>Medical and Insurance Benefits Enrollment Records</b></p>	<p>8 years after termination of employment or death of employee</p>
<p><b>Medical Records—Adult patients</b></p>	<p>Retained in the <i>original</i> or <i>unaltered reproduced</i> form for at least ten (10) years after the last data entry. “Basic information” from these medical records must be preserved for twenty-five (25) years according to definition below.</p>
<p><b>Medical Records, Dental</b></p>	<p>Ten (10) years after date of last data entry</p>
<p><b>Medical Records, Definition of “Basic Information”</b> “Basic information” from the records of a physician or surgeon includes the patient’s name and birthdate, a list of dated diagnoses and intrusive treatments, and a record of all drugs prescribed or given.  “Basic information” from the records of a healthcare facility includes the patient’s name and birthdate, dates of admission and discharge, names of attending physicians, final diagnoses, major procedures performed, operative reports, pathology reports, and discharge summaries.</p>	<p>“Basic information” must be preserved twenty-five (25) years after the last entry, except in the case of minor whose records shall be retained during the period of minority plus twenty-five (25) years after the minor reaches the age of majority.</p>
<p><b>Medical Records, <u>Exempted</u> Records and Federal and State Law</b> Hawaii <u>exempts</u> the following records from the retention requirement: public health mass screening records; pupils' health records and related school health room records; preschool screening program records; communicable disease reports; and mass testing epidemiological projects and studies records, including consents; topical fluoride application consents; psychological test booklets; laboratory copies of reports, pharmacy copies of prescriptions, patient medication</p>	

## RECORDS RETENTION SCHEDULE

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<p>profiles, hospital nutritionists' special diet orders, and similar records retained separately from the medical record but duplicated within it; public health nurses' case records that do not contain any physician's direct notations; social workers' case records; and diagnostic or evaluative studies for the department of education or other state agencies.</p> <p>In addition, these retention schedules exceed those prescribed by Medicare as Hawaii imposes longer retention periods than does federal law. For the federal regulations, <u>see</u> 42 C.F.R. § 482.24 (acute care hospitals); 42 C.F.R. § 482.61 (psychiatric hospitals); 42 C.F.R. § 483.75 (skilled nursing facilities); 42 C.F.R. § 484.48 (home health agencies); 42 C.F.R. § 485.638 (critical access hospitals); 42 C.F.R. § 485.721 (clinics, rehabilitation agencies, and public health agencies as providers of outpatient physical therapy and speech-language pathology services).</p>	
<p><b>Medical Records, Minor patients</b></p>	<p>Must be retained during the period of minority <i>plus</i> ten (10) years after the minor reaches the age of majority (which is typically age eighteen (18)). "Basic information" from these medical records must be preserved for twenty-five (25) years after the minor reaches the age of majority according to definition above.</p>
<p><b>Medical Records, X-ray films, electro-encephalogram tracings, EEG, and similar imaging records.</b></p>	<p>Must be retained for at least ten (10) years, after which they may be presented to the patient or destroyed, provided that interpretations or separate reports of x-ray films, electro-encephalogram tracings, and similar imaging records shall be considered "basic information" (See definition above.)</p>
<p><b>Medical Staff Dues Payments</b></p>	<p>3 years</p>
<p><b>Medicare forms for payment (1147 forms)</b></p> <p style="text-align: right;">(Original) (Copies)</p>	<p>Keep in patient chart 5 years then destroy</p>

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<p><b>Medicare/ Medicaid/CHAMPUS/State Health Program Records</b></p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Financial and statistical records;</li> <li>• Documentation of compliance with patients rights requirements, if applicable;</li> <li>• Written policies and procedures regarding advance directives, if applicable;</li> <li>• Billing materials, such as HCFA-1500 forms, charge slips, other business and accounting records referring to specific claims;</li> <li>• Correspondence and telephone logs regarding contact with government bill processors or other government representatives regarding billing issues.</li> <li>• Cost report materials, if applicable, including all data necessary to support accuracy of entries on cost reports, such as original invoices. However, administrative and billing work records (e.g., punch cards, adding machine tapes, internal controls) need not be maintained.</li> </ul> <p><u>Note:</u> Health insurance records and billing material and related attachments may be microfilmed, but health insurance records also must be maintained in their original form.</p>	<p>10 years</p>
<p><b>Meeting Minutes:</b></p> <ul style="list-style-type: none"> <li>• <b>Staff meeting minutes</b> (unit or department specific) <ul style="list-style-type: none"> <li>Nurse Management Meetings</li> <li>Department Head Meetings</li> <li>Senior Management Team Meetings</li> </ul> </li> <li>• <b>Standing Hospital Committees</b> <ul style="list-style-type: none"> <li>Infection Control Committee</li> <li>Medical Records Committee</li> <li>Quality Management Committee</li> <li>Pharmacy &amp; Therapeutics Committee</li> <li>Credentials Committee</li> <li>Physician Departments</li> <li>Ethics Committee</li> <li>Radiation Safety Committee</li> </ul> </li> </ul>	<p>3 years</p> <p>3 years</p> <p>PERMANENT</p> <p>PERMANENT</p> <p>3 years</p> <p>3 years</p> <p>3 years</p> <p>3 years</p> <p>3 years</p> <p>3 years</p> <p>3 years</p> <p>PERMANENT</p> <p>PERMANENT</p> <p>3 years</p>



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Environment of Care Committee Physician Health Committee Ad hoc Committees Medical Executive Committee <ul style="list-style-type: none"> <li>• Task Forces</li> <li>• Administrative Committees</li> <li>• Executive Meeting minutes</li> </ul>	10 years 3 years PERMANENT 3 years PERMANENT PERMANENT
<b>Memoranda &amp; Circulars, Official involving Policy Decisions</b>	10 years
<b>Metabolic Screen Report Sheet w/fax cover</b>	3 years then destroy
<b>Mileage, Automobile</b>	3 years if audited, otherwise 6 years
<b>Narcotic Count Records</b>	3 years then destroy
<b>OBRA Impact Studies</b>	PERMANENT
<b>Occupational Illness, injury, and adverse incident</b>	5 years following end of calendar year to which they
<b>Occupational Injury and Illness Survey</b>	5 years following end of calendar year to which they relate
<b>On-Call List for Emergency Department</b>	5 years
<b>One-Staff Scheduling Manual</b>	Discard 2 years after obsolete
<b>Organizational charts, functional statements and related supporting documents (may include reorganization proposals).</b>	6 years after superseded
<b>Orientation Records</b>	Until employee terminates
<b>OSHA Forms</b>	5 years following end of calendar year to which they relate
<b>Outservice Training, Request for Approval of</b>	2 years from date of record creation or termination of appointment whichever occurs later
<b>Pamphlets (e.g. Insurer training information)</b>	Destroy when out of date
<b>Patient Acuity Paperwork</b>	Non-permanent
<b>Patient Complaint Forms</b>	2 years after running of Statute of Limitations on potential claim, or 5 years after close of fiscal year of specific case
<b>Patient transport—not returning form</b>	3 years then destroy
<b>Patient Payment Records</b>	10 years then destroy
<b>Payment Approval, Request for</b>	6 years after completion of contract
<b>Payment Approval, Request for “after the fact”</b>	6 years after completion of contract
<b>Payroll Adjustment, Notification for</b>	3 years if audited, otherwise 6 years
<b>Payroll Adjustment Forms</b>	3 years if audited, otherwise 6 years
<b>Payroll Assignments</b>	Non-Permanent
<b>Payroll Change Schedule</b>	3 years if audited, otherwise 6 years
<b>Payroll Expenditure Distribution</b>	30 days after close of payroll period covered

## RECORDS RETENTION SCHEDULE

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<b>Payroll Expenditure Distribution Summary Sheet</b>	3 years
<b>Payroll Labor Distribution</b>	30 days after close of payroll period
<b>Payroll Records</b>	3 years after final settlement
<b>Payroll Registers</b>	1 year
<b>Payroll, Stop Payment for</b>	3 years if audited, otherwise 6 years
<b>Payroll Transaction Register</b>	30 days after close of period covered
<b>Performance Appraisals</b>	10 years
<b>Performance Improvement Data Reports</b>	Current accreditation period (3 yrs) and 1 year for CMS
<b>Patient Improvement Forms (not including employee performance documents)</b>	
<b>(Original)</b>	5 years then destroy
<b>(Copies)</b>	Non-permanent
<b>Personnel: Code of Conduct signature pages</b>	1 year after employee terminates; 1 year after contract terminated
<b>Personnel: Daily Worksheets / Notes (nursing Supervisor)</b>	4 years then destroy
<b>Personnel Action, Notification of</b>	
a. Employees in the following types of appointments eligible for membership in the ERS: probationary, permanent, LTA, TAOL, provisional and exempt.	30 years after termination of employment
b. Employees in the following types of appointments: emergency appointments, student helpers/interns; members of boards and commissions, SCET and other non-qualifying types.	30 years after termination of employment
<b>Personnel Folder</b>	
<b>(Official, Original)</b>	3 years after termination of employment
<b>(Copies)</b>	Destroy 1 year after termination of employment
<b>Personnel Folder, Official for Transferred Employee</b>	Retain until transferred
<b>Personnel: In-service and other training records</b>	3 years then destroy from date of record creation of personnel action resolved or until termination of performance
<b>Personnel: Job Performance and PAS forms</b>	Until after employee terminates State employment
<b>Personnel: Work schedules and OR schedules</b>	4 years then destroy
<b>Petty Cash Records</b>	
a. Petty Cash Vouchers	3 years if audited, otherwise 6 years
b. Remittance Advice for Replenishment of Petty Cash Funds	3 years if audited, otherwise 6 years
c. Request to Create/Change Petty Cash Fund	3 years if audited, otherwise 6 years
<b>Physician Action Forms</b>	10 years

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<b>Physician Applications for Appointment</b>	10 years
<b>Physician Credential Files</b>	10 years
<b>Physician Peer Review Files</b>	10 years
<b>PIC POST</b>	3 years
<b>Policy, Annual policy review signature sheets and face sheets</b>	3 years then destroy
<b>Policy</b>  <p style="text-align: center;"><b>(Original)</b> <b>(Copies)</b></p>	PERMANENT Destroy when superseded
<b>Policy Making Correspondence</b>	PERMANENT
<b>Position Descriptions</b>	3 years
<b>Premium Conversion Plan Forms</b>	7 years from the making of the record
<b>Premium Pay Records</b> Includes attendance sheets, overtime authorization, election of compensatory time-off and/or compensation in cash, certification for compensation	3 years if audited, otherwise 6 years
<b>Preventive Maintenance &amp; Repair History</b>	For life of equipment
<b>Price List Wavers</b>	3 years if audited, otherwise 6 years
<b>Procurement Project Files</b>	6 years after completion of contract
<b>Procurement Requests (PR)</b> <ul style="list-style-type: none"><li>• Commercial</li><li>• Government</li></ul>	10 years after termination 3 years after final payment
<b>Productivity Reports</b>	3 years
<b>Property Damage Claims</b>	5 years after close of fiscal year or particular case
<b>Property Inventory Reports</b>	3 years if audited, otherwise 6 years
<b>Public Notice for Professional Services</b> a. Public notice affidavit of publication b. Applications received of qualifications and expressions of interest c. List of professional candidates	2 years from date of procurement notice 2 years from procurement notice due date 3 years if audited, otherwise 6 years
<b>Public Relations Files</b> a. Speeches, addresses, and comments b. News releases c. Scrapbooks, photographs, articles, program notes and documentation of events sponsored or funded by an agency. Also included are narrative audio, or audiovisual agency histories	PERMANENT PERMANENT PERMANENT
<b>Public Works Construction Project Files</b> <ul style="list-style-type: none"><li>• Repair and Maintenance Files</li><li>• Payroll Records</li></ul>	10 years after final settlement 3 years after final settlement
<b>Purchase of Services</b>	6 years after final payment

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Quality Assurance Reports/Measurement Reports/ Quality Control for Waived Testing	3 years
Receipt of Expenditures	3 years then destroy
Records, Creation, Use , and Maintenance of computer systems, applications, or electronic records	Non-Permanent
Records, Establishment, organization, membership and policy	2 years after termination of committee
Records, Incentive and service awards programs	5 years
Records, Narcotic Administration	5 years
Records, Official boards, committees, and advisory bodies	PERMANENT
Records, Self-evaluation of physical facilities as required under the Americans with Disabilities Act (ADA) of 1990.	3 years after completion of actions identified within the plan are completed
Records, Substantive information relating to the official activities of high-level officials, which is not incorporated into memoranda, reports, correspondence or other records included in the official files	PERMANENT
Records Destruction, Report/Notification of	PERMANENT
Records Transfer/Storage List	3 years after records are destroyed
Registration forms, DHRD Sponsored Classes	2 years from date of record creation or personnel action involved or until termination of employment, whichever occurs later
Release of Liability Forms	2 years from close of record
Repair and Maintenance Projects	10 years after final settlement
Reports, Daily, weekly, monthly, and other periodic reports submitted for tabulation purposes	1 year after tabulation
Reports, Legislature reports and Legislative testimony (including information pertaining to operating, biennium and supplemental budget requests)	6 years after close of fiscal biennium to which records pertain.
Request for Appointment Approval	2 years from date of record creation
Request for Authorization to Purchase Outside of State Procurement Office Price List	6 years after completion of contract
Request for Criminal History Record Clearance	2 years from date of record creation
Request for Exemption from Chapter 103D	6 years after completion of contract
Request for Government Information, Formal	2 years after action on request is completed
Request to Create/Change Petty Cash Fund	3 years if audited, otherwise 6 years
Respirator Fitting Documentation	25 years after termination of employment or longer – check current Dept. of Labor and Industrial Relations Rules, Hawaii Occupational Safety and Health Division, Hawaii Administrative

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	Rules
<b>Restrictive Specifications, Request for</b>	6 years after completion of contract
<b>Risk Assessment/Safety Checklist</b>	Until replaced by a more recent checklist
<b>Risk Management Files</b> Records such as accident reporting, claim forms, potential claims, investigations, patient complaints, event report forms, liability claims reports, property loss reports, automobile inventory reports, insurance exposure surveys	2 years after running of Statute of Limitations on potential claim, or 6 years after close of fiscal year of specific case if case is fully resolved
<b>Root Cause Analysis Documents</b>	6 years
<b>Routine materials, containing no substantive information, regarding daily activities</b>	1 year or when no longer needed
<b>Sales Journal</b>	3 years if audited, otherwise 6 years
<b>Scrapbooks, photographs, articles program notes, etc.</b>	PERMANENT
<b>Security Incident/Violation Reports</b> Reports from security personnel on routine incidents that do not result in further investigation by agency personnel and/or police  Files relating to alleged violations of a sufficiently serious nature that they are transferred for further investigation by agency personnel or the police	3 years  6 years from date
<b>Security Logs</b> Logs which record information such as periodic facility checks, notations of incidents, and guard assignments  Back-up Logs	3 years  Non-Permanent
<b>Service Requisitions</b>	3 years
<b>Sharps Injury Log</b>	5 years
<b>Sole Source Records</b>	6 years after completion of contract
<b>Speeches, addresses, comments</b>	PERMANENT
<b>Staff Schedules</b>	3 years
<b>Statement of Fees &amp; Benefits: Non-employee</b>	4 years
<b>Stock Certificates, Cancelled</b>	15 years
<b>Stop Payment Order (Bank form or equivalent)</b>	3 years if audited, otherwise 6 years
<b>Strategic Planning Development Records</b>	2 years then destroy
<b>Staff Assignments</b>	4 years
<b>Summary Warrant Voucher – Manual and Computer</b>	3 years if audited, otherwise 6 years
<b>Supply requisitions</b>	3 years then destroy
<b>Survey Reports</b>	6 years
<b>Tax Returns (Federal and State)</b>	PERMANENT
<b>Telemedicine documents</b>	SEE "MEDICAL RECORDS"
<b>Temporary Assignment, Notification of</b>	3 years after termination of employee

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<b>Temporary Disability Insurance Case Records</b>	2 years after close of case
<b>Time Sheets (Kronos exception logs, D-55s)</b>	4 years if audited, otherwise 6 years
<b>Training Records, Safety</b>	3 years
<b>Transfer of Vacation &amp; Sick Leave, Application for</b>	3 years
<b>Travel</b> <ul style="list-style-type: none"> <li>• Travel (Out of State) Approvals</li> <li>• Statement of Completed Travel (Out-of-State)</li> <li>• Statement of Completed Travel (Intra-State)</li> <li>• Request for Vehicles &amp; Daily Travel Log</li> <li>• Monthly Mileage Record for State Owned Vehicles</li> <li>• Personal Automobile Mileage Voucher &amp; Supporting Documents</li> </ul>	3 years if audited, otherwise 6 years
<b>Treasury Deposit Receipts</b>	3 years if audited, otherwise 6 years
<b>Union Required Forms</b>	3 years
<b>Vacation Requests</b>	3 years if audited, otherwise 6 years
<b>Vendor Invoices</b> <ul style="list-style-type: none"> <li>• Commercial</li> <li>• Government</li> </ul>	10 years after termination 3 years after final payment
<b>Visitor Control Files</b> Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers	3 years
<b>VTC Reservation forms</b>	Non-Permanent
<b>W-2 &amp; HW-2 Recipients, Listing of</b>	4 years
<b>Work Order Requests for Building Repair &amp; Maintenance</b>	3 years
<b>Work Schedules</b>	4 years
<b>Workers' Compensation Records</b>	Retain for 8 years from last payment of compensation for injuries occurring 6-12-85 or later OR 10 years from last payment of compensation for injuries occurring prior to 6-12-85.
<b>Working Paper—projects, studies, analysis, notes, drafts, and interim reports</b>	Non-Permanent