

NORTHCARE NETWORK

POLICY TITLE: Record Retention & Disposal Schedule	CATEGORY: Information Management	
EFFECTIVE DATE: 6/25/13	BOARD APPROVAL DATE: 11/9/16	
REVIEW DATE: 9/12/23 7/2/24	REVISION(S) TO POLICY STATEMENT: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	OTHER REVISION(S): <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
RESPONSIBLE PARTY: Chief Information Officer	CEO APPROVAL DATE: 10/12/23 Megan Rooney, CEO	

APPLIES TO

NorthCare Network Personnel
NorthCare Network Providers

POLICY

It is the policy of NorthCare Network that records must be retained in accordance with applicable laws, rules, regulations including but not limited to HIPAA, MDHHS (GS20), 42 CFR 438.230(c)(3)(iii) and NorthCare Policy and Procedure and contract language. Disposal must be conducted in a manner that prevents the inappropriate release of confidential information.

PURPOSE

To ensure that records are retained for the required amount of time and to comply with the administrative, legal, fiscal and archival requirements of the State of Michigan. To ensure schedules are followed for the disposal of records per this policy and procedure in order to reduce the waste of valuable storage space and potential liability. (There may be some exceptions to this, i.e. microfiche, which may contain multiple case records.)

DEFINITIONS

A. **Disposal:** The process of throwing away or permanently getting rid of something.

REFERENCES

- State of Michigan General Schedule #20 (GS20) - Retention and Disposal Schedule for Community Mental Health Services Programs, May 1, 2007.
- PA 258 Michigan Mental Health Code, Sections 330.1746, 330.1748 and 330.1143
- 42 CFR 438.230(c)(3)(iii) – Subcontracts and Delegation Right to Audit
- 45 CFR, Subchapter C – Administrative Data Standards and Related Requirements, Sections 160 (HIPAA), 162, and 164 (HIPAA).
- State of Michigan Records Management Services, FAQ about General Schedules http://www.michigan.gov/documents/hal_mhc_rms_gsfaq_127164_7.pdf

HISTORY

REVISION DATE: 9/24/13, 9/4/14, 10/28/16, 5/6/19

REVIEW DATE: 6/19/13, 9/24/13, 9/4/14, 10/28/16, 8/24/17, 6/15/18, 5/6/19, 3/29/20, 1/18/21, 11/22/21, 10/31/22, 9/12/23

CEO APPROVAL DATE: 6/19/13, 9/24/13, 9/4/14, 11/1/16, 9/12/17, 7/3/18, 5/6/19, 4/6/20, 2/2/21, 12/6/21, 11/1/22, 10/12/23

BOARD APPROVAL DATE: 6/25/13, 11/9/16

PROCEDURES

NorthCare Network requires records to be kept as noted in the State of Michigan General Schedule #20 (GS20) Retention and Disposal Schedule for Community Mental Health Services Programs

EXCEPTIONS to GS20:

- A. Board of Director Meeting Records (Open Meetings of Public Bodies) – These records document the official activities of public bodies that are subject to the provisions of the Open Meetings Act (such as official governing boards, commissions, committees, advisory boards, task forces or other legislatively mandated decision-making bodies). These records include original approved signed meeting minutes, agendas, audio/visual recordings, and other supporting documentation. Audio/visual recordings may be destroyed after the written meeting minutes are approved and signed. These records do not include meeting notices, bulletins, or documentation of expenditures.
[Permanently]
- B. Employee Training Records, including Recipient Rights Training
Training records will be retained for the duration of employment [Active + 7 years]
- C. Consumer Case Records:
Consumer case records will be retained to the most stringent time frames which are:
- Adults: 20 years post discharge or death.
 - Children: For ease and consistency until age 28. Standard requires: 10 years post discharge or 7 years past age of majority.
- NOTE: Records of individuals who enter services as a child and continue services as an adult (18 years of age) while in service will follow the retention schedule for an adult.
- D. Contracts and other financial records will be kept for a period of 10 years from the final date of the contract period or from the date of completion of any audit, whichever is later. This exception is to comply with 42 CFR 438.230 – “The State, CMS, the HHS Inspector General, the Comptroller General or their designees have the right to audit, evaluate, and inspect any books, records, contract, computer or other electronic systems of the subcontractor, or of the subcontractor’s contractor, that pertain to any aspect of services and activities performed, or determination of amounts payable under the PIHP’s contract with the State.”