

**LSU HEALTH CARE SERVICES DIVISION
BATON ROUGE, LOUISIANA**


POLICY NUMBER: 0516-10

CATEGORY: Administrative Services

CONTENT: HCSD Record Retention

EFFECTIVE DATE: Issued: June 15, 2004
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Interim Chief Executive Officer
LSU Health Care Services Division

10-21-10

Date



Deputy Chief Executive Officer
LSU Health Care Services Division

10/20/10

Date

I. Purpose, Reference and Responsibility

A. Purpose

The purpose of this policy is to establish guidelines and procedures for the retention of Public records.

B. References

(See Attachment A)

Responsibility

Exhibit A, "Document Retention Schedule," identifies the appropriate Sections responsible for maintaining and archiving the source documents covered by this policy. Each Section identified in Exhibit A is responsible for complying with and enforcing the following policies and procedures.

II. Applicability and Definitions

A. Applicability

This policy applies to all Public records in all divisions and facilities of the LSU HCSD. The period of time noted in the column entitled "Destroy After" on the Records Retention Schedule shall not be modified; however the hospital administrator or his designee may request a modification in the period of time listed in the columns entitled "In Office" and "Records Center", provided the total period of time a record is retained is not reduced lower than the amount in the "Destroy After" column. In any event, the "In Office" column and the "Records Center" column must add up to equal the total listed in the "Destroy After" column. Any facility revisions to Exhibit A **must** be routed to the Director of Administrative & Support Services for approval prior to implementation. The revised Records Retention Schedule will be submitted to the State Archives by LSU HCSD Deputy CEO.

III. Policy

A. General

This policy addresses retention of Public records as required for external and internal review. The policy requirements, rules, and regulations vary between the many entities that provide financial resources to the HCSD, this policy takes all of the varying requirements into consideration in order to make certain that records are retained for archive and audit purposes.

B. Departmental Records Retention Responsibilities

Departments are responsible for maintaining supporting documentation for records initiated by the department. Exhibit A identifies the following documents as being the responsibility of the respective departments: (see attached, Exhibit A)

C. Exception to Retention Period

The only exceptions to the above retention periods are as follows:

If any litigation, claim, or audit is started before the expiration of the required retention period, the records shall be retained for four years following resolution and final action on any litigation, claims or audit findings involving the records.

When records are transferred to or maintained by a different Federal or State agency, the record retention and compliance of the policy regarding records retention is the responsibility of that agency.

D. Access to Records

A Federal awarding agency, the Inspector General, Comptroller General of the United States, or any of their duly authorized representatives, state auditors, internal auditors, and other sponsored program representatives as specified in written agreement have the right of timely and unrestricted access to any pertinent records of the HCSD in order to conduct audits, examinations, excerpts, transcripts and copies of such documents.

This right also includes timely and reasonable access to HCSD personnel for the purpose of interview and discussion related to such documents. The rights of access in this paragraph are not limited to the required retention period, but shall last as long as records are retained. Pursuant to and in compliance with HIPPA guidelines, any request to review records that might compromise patient confidentiality must be made in writing to the CEO and or his/her designee for review and approval prior to the records being made available.

E. Limits on Public Access

Unless required by statute, no Federal awarding agency shall place restrictions on the HCSD that limit public access to the records of the HCSD that are pertinent to a sponsored program, except when the Federal awarding agency can demonstrate that such records shall be kept confidential and would have been exempted from disclosure pursuant to the Freedom of Information Act (5 U.S.C. 552) if the records had belonged to the Federal awarding agency.

F. Disposal of Records After End of Retention Period

The respective Section as noted in Exhibit A of this policy, and or its designee, will have the responsibility of disposing of the records that are no longer required for retention or access as soon as possible after the expiration of the retention period.

G. Content

The content of a system-wide standard or best practices shall be, at a minimum, as specified in the sections above.

H. Assessment

The LSU HCSD Deputy shall annually confirm with the HCSD CEO that all reporting requirements, guidelines, rules, regulations, time delays for records retention as outlined in this document have been met to the satisfaction of the LSU HCSD Deputy CEO.

I. Implementation

This policy becomes effective upon the approval and signature of the CEO of the LSU HCSD. Subsequent revisions to this policy shall become effective on the date the policy or revised policies are approved by the Chief Executive Officer of the LSU HCSD or designee.

J. Responsibility

It shall be the responsibility of each Division Director and Hospital administrator or designee to adhere to the procedures set forth in this policy.

Exhibit A

Louisiana Secretary of State
 Division of Archives, Records Management and History
 P.O. Box 94125
 Baton Rouge, LA 70804-4125
 Http://www.sos.louisiana.gov

Records Retention Schedule

Department: Health Care Services Division
Agency: LSU

Access	Series Title	In Office (In years)	Records Center	Destroy After (In years)	Disposition and Remarks
Administration					
P	Annual Reports	3 FY		Permanent	Transfer to State Archives after 3 FY.
P	Minutes of Board of Supervisors, Board of Directors	Life of Hospital		Life of Hospital	La. R.S. 44:7
C	Executive Committee, Medical Staff	Life of Hospital		Life of Hospital	La. R.S. 44:7
P	Policies and Procedures	Permanent		Permanent	Medicare and Medicaid Guide (PRM-I, §2304.1 ¶ 6420.85; 45 CFR 413.20; 45 CFR 413.24; Health Insurance Manual 10 Section 413.04 ¹
P	Record Retention Schedule	Permanent		Permanent	LA R.S. 44:36 La. R.S. 40:2144(F)(2) La. R.S. 40:1299.96
M	Audit issues, appeal & litigation ²	Active + 3 FY		Active + 3 FY	La. R.S. 37:2817 Active = until resolution or appeals are exhausted.
Blood Bank					
C	ABO and RH Types	Permanent		Permanent	21 CFR 606.160 AABB 5.13.1
C	Adverse Reactions to Transfusions	Permanent		Permanent	21 CFR 606.160 AABB 7.4.2; 7.4.33; 7.4.4.1
C	Blood Donor Records	Permanent		Permanent	21 CFR 606.160 AABB 5.2.1; 5.4.2; 5.4.3.1; 5.2; 5.81; 5.82
C	Blood Test Results	Active + 5 FY		Active + 5 FY	21 CFR 606.160 AABB 5.14.1 Active = until results are processed.
C	Clinically significant antibodies	Permanent		Permanent	AABB Standards
C	Final Disposition of Blood and Components	Permanent		Permanent	21 CFR 606.160 AABB 5.1.6.5
M	General Records	Active + 5 FY		Active + 5 FY	21 CFR 606.160 Active = Expiration Date
P	Quality Control	5 FY		5 FY	21CFR 606.160 AABB 5.1.3
P	Refrigeration and Blood				
P	Inspection Records	5 FY		5 FY	21CRF 606.160 AABB5.18
C	Transfusion Request Records	5 FY		5 FY	21 CRF 606.160 AABB5.18.4.5
Compliance					
M	Audits-External	Active + 5 FY		Active + 5 FY	Active = The duration of audit
M	Audits-Internal	Active + 5 FY		Active + 5 FY	Active = The duration of audit
M	Compliance Officer Designation Form	Active + 1 FY		Active + 1 FY	Active = Until officer is superseded.
C	Inspector General				Active = While in communication with for the purpose of seeking guidance or responding to inquiries
C	Correspondence	Active + 3 FY		Active + 3 FY	
C	Correspondence with Ethics and Compliance Officers	5 FY		5 FY	

M	General Correspondence	Active + 3 FY		Active + 3 FY	Active = While in communication with for the purpose of seeking guidance or responding to inquiries
C	Investigation-Documentation	Active + 10 FY		Active + 10 FY	Active = The duration of investigation
P	Newsletters/Bulletins	2 FY		Permanent	Transfer 3 copies of each publication produced to State Archives
C	Quarterly Reports	5 FY		5 FY	
M	Reference Files	Active + 10 FY		Active + 10 FY	Administrative Decision Active = Currently in use
P	Training Materials	5 FY		Active + 4	Active = Currently in use
P	Training Programs	5 FY		Active + 4	Active = Currently in use

Dietary/Nutritional Services

P	Dietary Recipe Records	Active + 1 FY		Active + 1 FY	Active = While currently in use
C	Dietician Counseling Summaries	2 FY		2 FY	
P	Food Costs	6 FY		6 FY	
P	Inspection Reports	4 FY		4 FY	
P	Meal Counts	4 FY		4 FY	
P	Menus	4 FY		4 FY	

Ethics & Compliance (see Meetings)

Finance

P	Accounts Payable Records	FY + 2	7'	10 FY'	Footnote 1
P	Accounts Receivable Records	FY + 2	7'	10 FY'	Footnote 1
P	Audit Reports	FY + 2	7'	10 FY'	Footnote 1
P	Bank Account Statements	FY + 2	7'	10 FY'	Footnote 1
P	Bank Deposit Receipts	FY + 2	7'	10 FY'	Footnote 1
P	Bonds	FY + 2	7'	10 FY'	Footnote 1
P	Budgets	FY + 2	7'	10 FY'	Footnote 1
P	Canceled Checks	FY + 2	7'	10 FY'	Footnote 1
P	Canceled Notes	FY + 2	7'	10 FY'	Footnote 1
P	Cash Disbursements	FY + 2	7'	10 FY'	Footnote 1
P	Cash Receipts	FY + 2	7'	10 FY'	Footnote 1
P	Chart of Accounts	FY + 2	7'	10 FY'	Footnote 1
P	Contracts	Active + 10 FY		Active + 10 FY	Civil Code Active = Until contract expires.
P	Credit Card Records	FY + 2	7'	10 FY'	Footnote 1
P	Depreciation Schedules	FY + 2	7'	10 FY'	Footnote 1
P	Federal Financial Awards	FY + 2	7'	10 FY'	Footnote 1
P	Financial Statements	FY + 2	7'	10 FY'	Footnote 1
P	Inventory	FY + 2	7'	10 FY'	Footnote 1
P	Invoices	FY + 2	7'	10 FY'	Footnote 1
P	Journal Vouchers	FY + 2	7'	10 FY'	Footnote 1
M	Payroll (Payables & Invoices)	FY + 2	7'	10 FY'	Footnote 1
P	Petty Cash Records	FY + 2	7'	10 FY'	Footnote 1
P	Purchase Orders	FY + 2	7'	10 FY'	Footnote 1
P	Purchase Requisitions	FY + 2	7'	10 FY'	Footnote 1
P	Sales Receipts	FY + 2	7'	10 FY'	Footnote 1
P	Travel Authorizations (official)	FY + 2	7'	10 FY'	Footnote 1
P	Travel Expense Requests	FY + 2	7'	10 FY'	Footnote 1
	Unemployment Insurance				
M	Payments	FY + 2	7'	10 FY'	Footnote 1
P	Wire Transfers	FY + 2	7'	10 FY'	Footnote 1
	Workers Compensation				
M	Insurance	FY + 2	7'	10 FY'	Footnote 1

Health Insurance Portability and Accountability Act (HIPAA)

C	Accounting of Disclosures of Protected Health Information	6 FY		6 FY	45 CFR Parts 160 & 164
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C	Acknowledgement of Receipt of Notice of Privacy Practices (HIPAA 7515-03)	6 FY		6 FY	45 CFR Parts 160 & 164
C	Authorization for Release of Protected Health Information (HIPAA 7501-03)	6 FY		6 FY	45 CFR Parts 160 & 164
C	Authorization for Use and Disclosure of Protected Health Information for Marketing Purposes (HIPAA 7517-03)	6 FY		6 FY	45 CFR Parts 160 & 164
P	Business Associate Agreements (HIPAA 7510-03)	Active + 6 FY		Active + 6 FY	45 CFR Parts 160 & 164 Active = until contract expires.
C	Limited Data Set Request & Data Use Agreement (HIPAA 7509-03)	6 FY		6 FY	45 CFR Parts 160 & 164
C	Permission to Use & Disclose Protected Health Information (HIPAA 7505-03)	6 FY		6 FY	45 CFR Parts 160 & 164
C	Request for Access to Protected Health Information (HIPAA 4503-03)	6 FY		6 FY	45 CFR Parts 160 & 164
C	Request for Amendment to Protected Health Information & Related Correspondence: Notification of Approval, Notification of Delay in Decision, Notification of Denial, Notification to other Entities (HIPAA 7508-03)	6 FY		6 FY	45 CFR Parts 160 & 164
C	Request for De-identified Information (HIPAA 7511-03)	6 FY		6 FY	45 CFR Parts 160 & 164
C	Request to Receive Confidential Information by Alternative Means or at Alternative Location (HIPAA 7506-03 & 7521-03)	6 FY		6 FY	45 CFR Parts 160 & 164
C	Restricting Uses & Disclosures of Protected Health Information: Patient Request, Facility Response & Revoking or Terminating Restriction (HIPAA 7504-03)	6 FY		6 FY	45 CFR Parts 160 & 164
C	Tracking Form for Disclosure of Protected Health Information (HIPAA 7507-03 & 7525-03)	6 FY		6 FY	45 CFR Parts 160 & 164
C	Verification of Treatment Relationship by Health Care Provider-Individual or Entity (211408-1)	6 FY		6 FY	45 CFR Parts 160 & 164

Human Resources

M	Accident/Injury Reports	5 FY		5 FY	29 CFR 1904.3
P	Affirmative Action Plan	4 FY		4 FY	La. R.S. 44:36
M	Applications	2 FY		2 FY	Civil Service Circular
P	Civil Service Certificates of Eligibility	3 FY		3 FY	La. R.S. 44:36
P	Civil Service SF-9's (Inquiry of Availability Form)	3 FY		3 FY	La. R.S. 44:36
M	Correspondence	3 FY		3 FY	La. R.S. 44:36
C	Criminal Background Checks	Active + 3 FY		Active + 3 FY	La. R.S. 44:36 Active = until employee separates or is terminated.
C	Drug Test Results	3 FY		3 FY	La. R.S. 44:36

P	EEO (Equal Employment Opportunity) Reports	3 FY	3 FY	La. R.S. 44:36 29 CFR 1627.3
M	Employee Grievances	FY + 3	FY + 3	LA R.S. 44:36 La. R.S. 44:36 Active = An HCSD employee whose employment has not been terminated
P	Employee Manuals/Handbooks	Active + 3 FY	Active + 3 FY	29 CFR 1627.3 LA R.S. 44:36 Active = An HCSD employee whose employment has not been terminated
C	Employee Medical Records	Active + 5 FY	Active + 5 FY	Active = An HCSD employee whose employment has not been terminated
C	Employee Payroll Files	Active + 3 FY	Active + 3 FY	Active = An HCSD employee whose employment has not been terminated
M	Employee Personnel Files (including Benefit Records, Leave Registers & Worksheets, Monthly Payroll Registers, Pay Scale Information, Performance Standards, Prior Pay Period Adjustments, Promotion Records, Retirement Records, Salary Records, Transfer Records)	Active + 70CY	Active + 70 CY	LA R.S. 44:36 Active = An HCSD employee whose employment has not been terminated
P	Hazard Communication Records	30 FY	30 FY	29 CFR 1910.20; 29 CFR 1910.1001
P	Hazardous Exposure Records including medical records	30 FY	30 FY	29 CFR 1910.20; 29 CFR 1910.1001
M	IRS Records (W-2, W-9, W-4, 1099, 940, 941, Payroll deduction authorization)	5 CY	5 CY	26 CFR 301.6501(E)-1 (unconfirmed) La. R. S. 44:36 Active = An HCSD employee whose employment has not been terminated
P	Job Descriptions	Active + 3CY	Active + 3 CY	29 CFR 1627.3
P	Layoff/ Layoff Avoidance Plan	3 FY	3 FY	LA R.S. 44:36
P	Material Safety Data Sheets	30 FY	30 FY	29 CFR 1910.20; 29 CFR 1910.1001
P	Occupational Injury and Illness Annual Summary	5 FY	5 FY	29 CFR 1904.6
P	Organizational Charts	Permanent	Permanent	La. R. S. 44:36 La. R. S. 44:36 Active = An HCSD employee whose employment has not been terminated
M	Payroll Correspondence	Active + 3	Active + 3	La. R.S. 44:36 Active = An HCSD employee whose employment has not been terminated
C	PPR Records	Active + 5 FY	Active + 5 FY	La. R. S. 44:36
C	PPR Planning	3 FY	3 FY	La. R. S. 44:36
P	Time and Attendance Records (Sign-in Sheets & Leave Requests)	5 FY	5 FY	La. R. S. 44:36
P	Training Materials	3 FY	3 FY	La. R.S. 44:36
P	Vacancy Announcements	3 FY	3 FY	La. R.S. 44:36
M	Worker's Comp Records	Active + 5 CY	Active + 5 CY	Active = An HCSD employee whose employment has not been terminated
Laboratory, Therapy, and Imaging				
C	Bone Marrow Test Reports - Minors	Active + 10 FY	Active + 10 FY	RS 40:2114; RS 40: 1299.96 Active = until patient reaches age of majority.

C	Bone Marrow Test Reports- Adults	Active + 10 FY		Active + 10 FY	RS 40:2114; RS 40: 1299.96 Active = until patient discharged.
C	Echocardiogram Tracings - Minors	Active + 10 FY		Active + 10 FY	RS 40:2114; RS 40: 1299.96 Active = until patient reaches age of majority.
C	Echocardiogram Tracings - Adults	Active + 10 FY		Active + 10 FY	RS 40:2114; RS 40: 1299.96 Active = until patient discharged.
C	Electrocardiogram Tracings - Minors	Active + 10 FY		Active + 10 FY	RS 40:2114; RS 40: 1299.96 Active = until patient reaches age of majority.
C	Electrocardiogram Tracings - Adults	Active + 10 FY		Active + 10 FY	RS 40:2114; RS 40: 1299.96 Active = until patient discharged.
C	Electroencephalogram Tracings - Minors	Active + 10 FY		Active + 10 FY	RS 40:2114; RS 40: 1299.96 Active = until patient reaches age of majority.
C	Electroencephalogram Tracings - Adults	Active + 10 FY		Active + 10 FY	RS 40:2114; RS 40: 1299.96 Active = until patient discharged.
C	Electromyograms - Minors	Active + 10 FY		Active + 10 FY	RS 40:2114; RS 40: 1299.96 Active = until patient reaches age of majority.
C	Electromyograms - Adults	Active + 10 FY		Active + 10 FY	RS 40:2114; RS 40: 1299.96 Active = until patient discharged.
C	Fetal Monitoring Strips	5 FY		5 FY	
C	Final Test Reports-Pathology/ Histology/ Cytology	10 FY		10 FY	42 CFR 493.1109; 42 CFR 493.1257
C	Histopathology Slides	10 FY		10 FY	42CFR 493.1259(b)
C	HIV Test Results (anonymous)	2 FY		2 FY	42 CFR 493:1109
C	HIV Test Results - Minors	Active + 10 FY		Active + 10 FY	RS 40:2114; RS 40: 1299.96 Active = until patient reaches age of majority.
C	HIV Test Results - Adults	Active + 10 FY		Active + 10 FY	RS 40:2114; RS 40: 1299.96 Active = until patient discharged.
C	Laboratory Reports- Complete Reports documenting each step in the processing, testing, and reporting of patient specimens to assure the accuracy of the testing	5 FY		5 FY	42 CFR 439.1109
C	Laboratory Test Requisitions	2 FY		2 FY	42 CFR 493.1105
C	Paraffin Blocks	2 FY		2 FY	42CFR 493.1259(b)
C	Patient Testing Reports - Immunohematology, Histocompatibility	5 FY		5 FY	42 CFR 493.1109
M	Performance Records	5 FY		5 FY	42 CFR 493.903
C	Radioisotopes	5 FY		5 FY	10 CFR 30.51
C	Requests for tests	2 FY		2 FY	42 CFR 493:1105
C	Screening Procedures - Minors	Active + 10 FY		Active + 10 FY	RS 40: 2144; RS 40:1299.96
C	Screening Procedures - Adults	Active + 10 FY		Active + 10 FY	RS 40:2114; RS 40: 1299.96 Active = until patient discharged.
C	Slides	5 FY		5 FY	42CFR 493.1259
C	Test Procedures-Errors	2 FY		2 FY	42 CFR 493.1219(d)(3)
C	Therapy Treatment Records Minors (not duplicated in patient records)	Active + 10 FY		Active + 10 FY	RS 40:2114; RS 40: 1299.96
C	Adults (not duplicated in patient records)	Active + 10 FY		Active + 10 FY	RS 40:2114; RS 40: 1299.96 Active = until patient discharged.
C	Wet Tissue	6 Months		6 Months	42CFR 493.1259(b)
Legal					
C	Civil Service Appeal	FY	4 FY	5 FY	La. Rule of Professional Conduct 1.15 (a); La. R.S. 44:36 (A)
C	EEOC Appeals	FY	4 FY	5 FY	La. Rule of Professional Conduct 1.15 (a); La. R.S. 44:36 (A)

C	Opinions	FY	4 FY	5 FY	La. Rule of Professional Conduct 1.15 (a); La. R.S. 44:36 (A)
C	Contracts	FY	4 FY	5 FY	La. Rule of Professional Conduct 1.15 (a); La. R.S. 44:36 (A)
C	Garnishments	FY	4 FY	5 FY	La. Rule of Professional Conduct 1.15 (a); La. R.S. 44:36 (A)
C	Third Party Liability Liens	FY + 2	2 FY	5 FY	La. Rule of Professional Conduct 1.15 (a); La. R.S. 44:36 (A)
Maintenance					
P	Construction Project Plans	10 FY		10 FY	
P	Building Maintenance Records	3 FY		3 FY	
P	Motor Vehicle Maint records	Active + 1 FY		Active + 1 FY	Active = until surplus is processed.
P	Maintenance of Equip	Active + 1 FY		Active + 1 FY	Active = until surplus is processed.
P	Property Appraisals	4 FY		4 FY	
P	Repair Records	3 FY		3 FY	
Medicaid/Medicare/UCC					
C	Billing Material HCFA 1450 and supporting documents	10 FY'		10 FY'	Footnote 1
C	Cost Report support documents	10 FY'		10 FY'	Footnote 1
P	Hospital Physician Materials (agreements upon which Part A-Part B allocations are made)	10 FY'		10 FY'	Footnote 1
C	Medical Records (utilization review committee reports, physician certifications, discharge summaries, patients' medical records, etc.)	10 FY'		10 FY'	Footnote 1
C	Medicare & Medicaid claims and supporting documentation including nursing education records	10 FY'		10 FY'	U.S. Dept of Justice Medicare Hospital Manual Section 480
Meeting Records⁶					
M	Medical Executive Committee	Life of Hospital		Life of Hospital	LA R.S. 44:7
M	Medical Staff	Life of Hospital		Life of Hospital	
M	Committee Meetings Minutes	Life of Hospital		Life of Hospital	Footnote 1
M	Ethics & Compliance Policy Development Committee				
M	Meetings Minutes	Life of Hospital		Life of Hospital	
M	Facility Ethics & Compliance	Life of Hospital		Life of Hospital	
C	Departmental Meeting Minutes	Life of Hospital		Life of Hospital	
Patient Medical Record					
C	Medical Records - Adult	Active + 10 FY		Active + 10 FY	RS 40:2144 Active= until patient is discharged
C	Medical Records - Infant/Child	Active + 10 FY		Active + 10 FY	Active = until patient reaches age of majority.
C	Register of Births	Permanent		Permanent	RS 40:34
C	Death Register	Permanent		Permanent	RS 40:34
Pharmacy					
P	Alcohol (Tax Free Inventory)	Active + 3 FY		Active + 3 FY	LAC 46:LII.2525; 27 CFR 22.164 Active = until date of dispensing.
C	Controlled Substances Dispensed and Administered	5 FY		5 FY	LAC 46:LIII2525; LAC 46:LII2901-2903; 21 CFR

C	Controlled Substances Inventory and Orders	5 FY		5 FY	LAC 46:LIII.2525; LAC 46:LIII2545; LAC 46:LIII.2901-2903; 21 CFR 1304.04(a)
P	Inspection Reports	4 FY		4 FY	LAC 46:LIII.2529
C	Methodone Records	5 FY		5 FY	LAC 46:LII: 1.2525; LAC 46:2545; LAC 46:LII2901-2903; 21 CFR 291.505 (d)(13)(ii); 21CFR 310.505 I. 2525; LAC 46:
C	Patient Profile	5 FY		5 FY	LAC 46:LIII2525; LAC 46:LIII.2901-2903
C	Pharmacy Register	Active + 5 FY		Active + 5 FY	LAC 46:LIII 2911 Active= until end of FY in which medication was dispensed.
C	Prescriptions	5 FY		5 FY	LAC 46LIII 2525; LAC 46:LIII 2901-2903; 21CFR 1304.04 (h)
C	Radioactive Drugs	5 FY		5 FY	LAC 46:LIII1907, LAC 46:2901-2903
P	Recall Records	4 FY		4 FY	LAC 46: LIII.2531
Property Control					
P	Bldgs/Additions Cost	Permanent		Permanent	
P	Capital Assets (purchase cost greater than \$5,000)	Active + 10 FY		Active + 10 FY	Footnote 1 . Active = until disposal of asset.
P	Non-Capital Assets (purchase cost less than or equal to \$5,000)	Active + 10 FY		Active + 10 FY	Footnote 1 . Active = until disposal of asset.
P	Property Appraisals	Permanent		Permanent	
Quality Management					
P	JCAHO (Joint Commission on Accreditation of Healthcare Organizations) Survey Reports	Life of Hospital		Life of Hospital	
C	Medicare Mortality Report	Life of Hospital		Life of Hospital	
C	Surgical Case Review	7 FY		7 FY	
C	UR (Utilization Review)/DRG (Diagnosis Related Group)				
C	Review Worksheets	10 FY		10 FY	Medicare & Medicaid Guide (PRM-I, 2304.1 P 6420385)
Radiation Protection Program					
C	Credential License and Certification Records	Active + 7 FY		Active + 7 FY	LAC 46:LXVI.1213 Active = until employee separates or terminated from agency.
C	Environmental Exposure	Active + 1 FY		Active + 1 FY	LAC 33:XV.472 Active = termination of expiration of license
C	Mammograms	10 FY		10 FY	FDA Guidance
P	Planned Special Exposure	Active + 4 FY		Active + 4 FY	LAC 33:XV.472; LAC 33.SV.475 Active = until termination of employee
P	Radiation Equipment Minor Maintenance	4 FY		4 FY	LAC 33:XV.472
P	Radiation Detection Instrumentation	3 FY		3 FY	LAC 33:XV.472
C	Radiation Monitoring Records (human exposure)	Active + 1 FY		Active + 1 FY	LAC 33:XV.472 Active = until termination or expiration of license
C	Radiation Monitoring Records (Radioactive Materials)	3 FY		3 FY	LAC 33:XV.472
P	Radiology Surveys Records	3 FY		3 FY	LAC 33:XV.472
P	Radiology Surveys Records	3 FY		3 FY	LAC 33:XV.472
P	Testing (Sealed Sources)	5 FY		5 FY	LAC 33:XV.473
P	Testing (Entry Control Devices)	4 FY		4 FY	LAC 33:XV.473
Research Records					

C	Human Experiment Records	Permanent		Permanent	LAC 46:III.2551
C	Medical Research	Active + 10 FY		Active + 10 FY	Active = until research project is concluded.
Safety					
P	Disaster Recovery Plan	Active + 3 FY		Permanent	Active = until superseded. Transfer to State Archives 3 FY after superseded.
C	Procedural Incident Reports	4 FY		4 FY	
P	Safety Inspections	4 FY		4 FY	
Security					
P	Abandoned Property Records	3 FY		3 FY	
C	Patient Personal Property	Active + 3 FY		Active + 3 FY	Active = until patient discharged. Active = until end of FY in which disturbance occurs.
P	Security Disturbances	Active + 3 FY		Active + 3 FY	
Utilization Management					
C	Case Review Records	2 FY		2 FY	
C	Correspondence with Payers	2 FY		2 FY	
C	Patient Management System Reports: ADT (Admissions/Discharges/Transfers), 1 Day Stays, etc.	1 FY		1 FY	

NOTES:

- 1 Medicare and Medicaid Guide (PRM-I, §2304.1 ¶ 6420.85; 45 CFR 413.20; 45 CFR 413.24; Health Insurance Manual 10 Section 413.01 requires retention of 7 years after the later of date cost report is filed or date of service, plus 3 additional years if
- 2 Any and all records involved in an audit, appeal, dispute, or litigation must be retained for 3 years from the date of resolution unless a longer retention is required by law, regulation or policy for the specific record.
- 3 Numerical amounts are given in years unless otherwise specified. A year is considered to begin on July 1 and end on June 30.
- 4 FY refers to the current fiscal year which is July 1 - June 30 unless otherwise specified in the particular record.
- 5 This Record Retention Schedule serves as a template for all HCSD Hospitals and Headquarters. Each Business Unit may submit an amended plan to move records from "In Office" to "Records Center" according to individual Business Unit needs. Any
- 6 Meetings for the purpose of record retention are considered to be those that are required by an oversight agency, agency bylaws or any state or federal regulation.
- 7 Confidential items are indicated with a C in the far left column. Public items are indicated with a P. Items which may contain confidential items are indicated with an M.

Approved

[Signature]

Date Agency

12/3/2010 LSU-HCSO

Date Secretary of State, Archives and Records Services

Unsigned Schedules will be Returned to Agency