

<b>CLINTON HOSPITAL</b>	<b>Policy # PCS-15</b>
<b>Document Owner: VP Patient Care Services</b>	<b>Last Revision Date: 12/3/2013</b>

### CONTROL OF RECORDS

- Clinton Hospital (CH) maintains records to provide evidence of conformity to requirements and of the effective operation of the quality management system.
- Records shall remain legible, readily identifiable and retrievable. This policy will define the procedure to
  - properly identify,
  - who owns the record,
  - who may access,
  - where to locate,
  - method to dispose, and
  - how long to retain records.

#### **PROCEDURE:**

There are two systems to manage records within the Quality Management System:

- The electronic / paper medical record system. For information related to the Healthcare Information System see related policies:
  - STORAGE / RETENTION AND SAFEGUARDING GUIDELINES FOR PATIENT RECORDS
  - ACCESS TO MEDICAL RECORDS
- Other required Quality Management System records, defined in the below table

Records required by the quality management system will be identified, at minimum, by descriptive title of the record contents.

Records are stored in locations as identified in the record retention table.

Records are protected for accessibility:

- **Open:** Indicates that the record open for view by any employee requiring access.
- **Restricted:** Indicates that records are accessible through the owner on a limited basis only.

Records are stored in a manner to protect the document from damage.

- Electronic records are maintained on the server and backed up as necessary.
- Hard copy records are stored in cabinets, binders or in such a manner as to protect the record from physical deterioration.

Records can be retrieved through the record owner. Some records may have limited accessibility and may not be viewed by all personnel.

Record disposition methods are defined in the referenced policy. Records meeting the retention period will be disposed of according to the reference policies:

- DESTRUCTION / DISPOSAL OF PHI
- PROCESSING AND DESTRUCTION OF OBSOLETE PATIENT CARE HEALTH INFORMATION MATERIALS
- PURGING OF RECORDS FILES AND RETREIVAL OF OFFSITE STORAGE RECORDS

Record retention time is defined in the table below.

**SUBJECT: Control of Records**

Record Retention Table				
Record	Record Owner (Who?)	Accessibility	Location (Where?)	Retention Time
<b>Administrative</b>				
Articles of Incorporation	CEO	Open	?	Permanent
Bylaws	CEO	Open	Administration Files	Permanent
Death Records				
Insurance Policies	CEO	Restricted	UMMHC	?
Hospital licenses	CEO	Open	Administration Files	Permanent
Contracts <ul style="list-style-type: none"> <li>• Physician</li> <li>• Clinical</li> </ul>	CEO	Restricted	Administration Files	7 Years
Board of Trustees Meeting Minutes	Secretary of the Board	Restricted	Administration Files	Permanent
* Meeting Minutes <ul style="list-style-type: none"> <li>• Medical Staff</li> <li>• Patient Care Assessment</li> <li>• Quality Council</li> <li>• Utilization Management</li> <li>• Safety</li> <li>• Compliance</li> </ul>	Administrative Manager	Restricted	Administration File	7 Years
Controlled Documents (ARCHIVED)	Document Control Administrator	Restricted	Network Drive	10 Years
Property records (deeds, titles)				
Property records (leases)				
* Lost / Damaged Customer Property			STARS Database	
<b>Medical Staff Office</b>				
Physician and Allied Staff Credentialing				10 Years after Termination
<b>Business Office</b>				
Annual Audit	CFO	Restricted	UMMHC Finance	10 Years

**SUBJECT: Control of Records**

<b>Record Retention Table</b>				
Record	Record Owner (Who?)	Accessibility	Location (Where?)	Retention Time
Bank documentation	UMMHC Treasury			
Budgets	CFO		MPC	
Cost Reports	CFO	Restricted	Administrative File (onsite) UMMHC Payment System (offsite)	5 Years (onsite) 2 Years (offsite) 7 Years (total)
Invoices	UMMHC A/P		A/P Database	5 Years
Fixed assets	UMMHC		Infinium	
Accounts receivable	UMMHC			
Accounts payable	UMMHC			
Journals	UMMHC			
Ledgers	UMMHC			
Tax Returns	UMMHC	Restricted	Financial Reporting Network Drive	2 Years (onsite)
Welfare agency records	UMMHC			
<b>Medical Records</b>				
* Medical Records: (EMR or Paper)	See HIM-04-08 STORAGE / RETENTION AND SAFEGUARDING GUIDELINES FOR PATIENT RECORDS			
<b>Patient Care Services Records</b>				
Birth Book / Log				30 Years
Quality Control Testing Logs • Per Department				10 Years
Code Cart Check List				5 Years
Continuing Education • Per Department				5 Years
ED Specimen Test / Log				10 Years
Nursing Unit Assignment Sheets	Nurse Manager			3 Years
On-Call Physician Coverage Schedule				10 Years
OR Log / Schedule				30 Years

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<b>Record Retention Table</b>				
<b>Record</b>	<b>Record Owner (Who?)</b>	<b>Accessibility</b>	<b>Location (Where?)</b>	<b>Retention Time</b>
PACU Census				30 Days
Surgical / Special Procedures Videotapes				10 Years
* Flash Sterilization Logs				
* Infection Control Records (WHAT?)				
<b>Dietary</b>				
* Menus				
* What Else?				
<b>Facilities</b>				
Engineering Contracts				
Construction Records				
Blueprints				
* Calibration records				
* Equipment maintenance records				
Inspections of buildings/grounds				
Maintenance log				
What else?				
<b>Laboratory</b>				
* Blood / blood component disposition				
<b>Human Resources</b>				
* Employee Health Records				30 Years
* Employee health Records – Exposure to Bloody / Bodily Fluids				30 Years + Length of Employment
* Personnel File				
* Training / Competency / Education				

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<b>Record</b>	<b>Record Owner (Who?)</b>	<b>Accessibility</b>	<b>Location (Where?)</b>	<b>Retention Time</b>
Employee OSHA Injury Form 300 / 300A				5 Years
<b>Payroll</b>				
Kronos Records				5 Years
Department Payroll Exception Forms				5 Years
Communications from employees regarding time reporting				5 Years
Approved Time Sheets / Kronos Report Reconciliations to Schedules				5 Years
Paid-Time-Off Requests Forms				5 Years
<b>Pharmacy</b>				
* Controlled substances (inventory and orders)				
* Controlled substances (dispensed and administered)			Pyxis Database	
<b>Purchasing and Receiving</b>				
Packing slips				
Purchase order			Pathways Management System	
* Vendor Evaluation Tool, including actions against vendors				
<b>* Internal Audit</b>				
Clinical Audit				
Process Audit				
Safety Inspection General Facility				
Safety Inspection Record All Patient Areas				
<b>* Control of Nonconforming Product</b>				

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Record Retention Table				
Record	Record Owner (Who?)	Accessibility	Location (Where?)	Retention Time
Reverse Distributor Log				
Expired / Damage Supply Log				
Expired Medication Log				
Equipment Work Order				
Medical Equipment Repair Log				
Facility Equipment Repair Log				
Food Waste Log				
Recall Log				
ECRI Alert Tracker Record				
Lab POC Equipment Log				
<b>* Corrective Action / Preventive Action</b>				
Incident Reports				10 Years
Root Cause Analysis				
* Grievance / Complaint Log				
Grievance Report Form				
Form – PDCA				
Corrective Action / Preventive Action Form				
<b>* Preventive Action (see Corrective Action)</b>				

\* Indicates a required record by ISO9001 or NIAHO<sup>SM</sup> Requirements

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<b>Date</b>	<b>Change Description</b>	<b>Signature</b>
12/3/2013	New document	President/CEO