

## RECORDS RETENTION SCHEDULE

Updated: April 2012

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

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<p><b>Contracts</b></p> <p>a. Commercial customers</p> <p>b. Government (Federal, state or local prime or subcontracts)--Includes, but is not limited to:</p> <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> <li>• Progress or status reports</li> <li>• Notice of changes, delays or corrective actions</li> <li>• Procurement Requests (PR)</li> </ul>	<p>10 years after termination 4 years after final payment</p>
<p><b>Contract Time, Request for Extension of</b></p>	<p>6 years after completion of contract</p>
<p><b>Corporate Records</b></p> <p>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></p> <p>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></p> <p>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;"> <b>(Copies)</b>  <b>(Original)</b> </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>
<b>Electronic Records, Indexes</b>	Non-Permanent
<b>Electronic Spreadsheets</b>	Non-Permanent
<b>Electronic Word Processing Files</b>	Delete when no longer needed to create hard copy
<b>Emergency Procurement, Request for</b>	6 years after completion of contract
<b>Emergency Room, Medical Records for transferred patients</b>	5 years
<b>Emergency Room, Central log for ED patients</b>	5 years
<b>Employee Attendance Records</b>	6 years
<b>Employment Eligibility Verification</b>	3 years from date of hire or 1 year after termination whichever is later
<b>Employee Health Charts including Employee Records relating to exposure to toxic substances and harmful agents (e.g., asbestos, blood borne pathogens, etc.)</b>	25 years after termination of employment or longer – check current Dept. of Labor and Industrial Relations

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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	1 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
<b>Federal &amp; State Withholding Exemptions</b>	Until employee terminates
<b>Fees &amp; Benefits, Statement of: Non-employee</b>	4 years
<b>Finding Aids (Indexes, Reference Guides, etc.)</b>	Destroy when no longer needed for reference
<b>Forklift (Lift Truck) Safety Inspection Reports</b>	1 year after inspection date
<b>General Ledgers (Non-computerized)</b>	3 years if audited, otherwise 6 years
<b>Government Information, Formal Requests for</b>	2 years after action on request is completed
<b>Governor's Administrative Directives</b>	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.
<b>Grant Records – Unsuccessful applications</b>	3 years after rejection or withdrawal
<b>Grant Records – Accepted Applications</b>	Non-Permanent
<b>Grievance Files</b>	4 years after case is closed or longer if needed
<b>Hazardous Waste Disposal Reports</b>	PERMANENT
<b>Health Fund Enrollment Forms</b>	8 years after termination of employment or death
<b>Incentive and Service Awards Program Records</b>	5 years
<b>Injury and illness trend analysis</b>	5 years
<b>In-service Records</b>	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
<b>Instructor files (Roster, instructor candidate information)</b>	3 years, unless outside agency imposes other retention requirements
<b>Inventory of Property Detail</b>	3 years
<b>Inventory Change Register</b>	3 years
<b>Inventory Transaction Register</b>	3 years
<b>Invoices, Vendor</b>	10 years then destroy
<b>Job Announcements</b>	2 years from date personnel action created or final disposition, whichever is later.
<b>Job Descriptions</b>	3 years
<b>Joint Commission Workbook</b>	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>2 years</p> <p>Life of instrument</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>	1 year
<p><b>Mailing Lists</b></p>	Non-Permanent
<p><b>Maintenance Records - Equipment</b></p>	Life of equipment
<p><b>Maintenance Work Requests</b></p>	6 months after work completed then destroy
<p><b>Medical and Insurance Benefits Enrollment Records</b></p>	8 years after termination of employment or death of employee
<p><b>Medical Records—Adult patients</b></p>	Retained in the <i>original or 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><b>Medical Records, Dental</b></p>	Ten (10) years after date of last data entry
<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>	“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><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>	

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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><b>Must</b> 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>(Original) Keep in patient chart (Copies) 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>• <b>Task Forces</b></li> <li>• <b>Administrative Committees</b></li> <li>• <b>Executive Meeting minutes</b></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

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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> <b>(Copies)</b>	5 years then destroy 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. 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  30 years after termination of employment
<b>Personnel Folder</b>  <b>(Official, Original)</b> <b>(Copies)</b>	3 years after termination of employment 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 b. Remittance Advice for Replenishment of Petty Cash Funds c. Request to Create/Change Petty Cash Fund	3 years if audited, otherwise 6 years 3 years if audited, otherwise 6 years 3 years if audited, otherwise 6 years
<b>Physician Action Forms</b>	10 years

## RECORDS RETENTION SCHEDULE

Updated: April 2012

<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: right;"><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

## RECORDS RETENTION SCHEDULE

Updated: April 2012

<b>Quality Assurance Reports/Measurement Reports/ Quality Control for Waived Testing</b>	3 years
<b>Receipt of Expenditures</b>	3 years then destroy
<b>Records, Creation, Use , and Maintenance of computer systems, applications, or electronic records</b>	Non-Permanent
<b>Records, Establishment, organization, membership and policy</b>	2 years after termination of committee
<b>Records, Incentive and service awards programs</b>	5 years
<b>Records, Narcotic Administration</b>	5 years
<b>Records, Official boards, committees, and advisory bodies</b>	PERMANENT
<b>Records, Self-evaluation of physical facilities as required under the Americans with Disabilities Act (ADA) of 1990.</b>	3 years after completion of actions identified within the plan are completed
<b>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</b>	PERMANENT
<b>Records Destruction, Report/Notification of</b>	PERMANENT
<b>Records Transfer/Storage List</b>	3 years after records are destroyed
<b>Registration forms, DHRD Sponsored Classes</b>	2 years from date of record creation or personnel action involved or until termination of employment, whichever occurs later
<b>Release of Liability Forms</b>	2 years from close of record
<b>Repair and Maintenance Projects</b>	10 years after final settlement
<b>Reports, Daily, weekly, monthly, and other periodic reports submitted for tabulation purposes</b>	1 year after tabulation
<b>Reports, Legislature reports and Legislative testimony (including information pertaining to operating, biennium and supplemental budget requests)</b>	6 years after close of fiscal biennium to which records pertain.
<b>Request for Appointment Approval</b>	2 years from date of record creation
<b>Request for Authorization to Purchase Outside of State Procurement Office Price List</b>	6 years after completion of contract
<b>Request for Criminal History Record Clearance</b>	2 years from date of record creation
<b>Request for Exemption from Chapter 103D</b>	6 years after completion of contract
<b>Request for Government Information, Formal</b>	2 years after action on request is completed
<b>Request to Create/Change Petty Cash Fund</b>	3 years if audited, otherwise 6 years
<b>Respirator Fitting Documentation</b>	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



## RECORDS RETENTION SCHEDULE

Updated: April 2012

	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

## RECORDS RETENTION SCHEDULE

Updated: April 2012

<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