

## Administrative Policy

Records

Policy No. 200.1.21

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- 1 OPTIONS recognizes the need to maintain accurate and comprehensive records for all operations. To ensure the maintenance of accurate records, the following individuals will be responsible for the following records with corresponding record retention schedule:
  - 1.1 Chief Executive Officer
    - Board Records 7 yrs
    - Administrative Records 7 yrs
    - Strategic Planning Records 7 yrs
    - Q/A Records 3 yrs
  - 1.2 Program Director
    - Program Descriptions 3 yrs after closure
    - Incident Reports 7 yrs
    - Reports for Regulatory Bodies 7 yrs
    - Register of Supported Persons 7 yrs
    - Safety Records 7 yrs
    - Maintenance Checks 7 yrs
    - Specific Program Safety Records 7 yrs
  - 1.3 Chief Financial Officer (See Business Retention Guide)
    - Financial Records
    - Payroll Records
    - Insurance Information/Records
    - Sub-Contractors
    - Food Account Records
  - 1.4 Human Resource Director
    - Personnel Files 7 yrs after termination
    - Staff Schedules 1 yr
    - Staff Evaluations 7 yrs after termination
    - Training Schedules & Records 7 yrs after termination
    - In-Service Records 3 yrs
    - Health Insurance Information & Records 7 yrs after termination
  - 1.5 Program Managers
    - Supported Person Files 7 yrs after discharge
    - Staff Meeting Agendas 1 yr
    - Peer Group Meeting Agendas 1 yr
    - Duty Roster 1 yr
    - Data Collection for ISP & Monthly Reports 7 yrs after discharge
  - 1.6 Program Supervisors
    - Medication Log 7 yrs after discharge

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|     | Weekly Menus                                    | 1 yr  |
| 1.7 | Administrative Coordinator<br>Mileage Log (Van) | 3 yrs |
- Records of persons served will be kept in a locked file cabinet, or in a storage area secured by a locking door. The file cabinet or storage area will be safeguarded against loss, destruction, or unauthorized use.
  - Records of persons served will be transferred to archival storage after a person is discharged from OPTIONS. Files may be purged with records one year or older placed in archives. Administrative records will be transferred to archival storage 12 months after the end of each fiscal year.
  - When records are destroyed, it will be shredded. The confidentiality of records will be maintained at all times. No individual or organization will be allowed to view any record maintained by OPTIONS without proper authorization and/or signed release statements from the person whose information is contained in the record, or from that person's authorized representative.
  - Files are purged annually. Most purged documents are of day-to-day records such as ID notes, Health Appointment Checklists, etc. Annual Physician reports, assessments and pre-admission documents are generally not purged.

Adopted: February 1989

Revised: November 1990, August 1995, June 2002, June 2006, May 2012  
August 2012, April 2014, October 2015

Reviewed: August 2016, October 2016, October 2018

Revised: September 2019

Reviewed: November 2019

Revised: November 2020

Revised: July 2021

## **Business Record Retention Guidelines**

Records to Retain for 1 year:

- Correspondence with Vendors
- Duplicate Deposit Slips
- Purchase Orders
- Receiving Sheets
- Requisitions
- Notebooks

Business Records to Retain for 3 years:

- Bank Statements and Reconciliations
- Employee Personnel Records (after termination)
- Employment Applications
- Expired Insurance Policies
- General Correspondence
- Internal Audit Reports
- Internal Reports
- Petty Cash Vouchers
- Time Cards for Hourly Employees

Business Records to Retain for 6 years:

- Accident Reports, Claims
- Accounts Payable Ledgers and Schedules
- Accounts Receivable Ledgers and Schedules
- Cancelled Checks
- Cancelled Stock and Bond Certificates
- Employment Tax Records
- Expired Contracts, Leases
- Inventories of Supplies
- Notes Receivable Ledgers, Schedules
- Payroll Records and Summaries
- Cost Ledgers
- Purchase Orders
- Travel Records
- Payments to Vendors, Employees, Etc.

**Business Records to Retain Indefinitely (*not to be destroyed*):**

- Audit Reports from CPA/Accountant
- Cancelled Checks for important payments such as tax payments
- Cash Books, Charts of Accounts
- Contracts, Leases Currently in Effect
- Corporate Documents, Incorporation, charter, by-laws, etc.
- Documents substantiating fixed asset additions
- Deeds
- Depreciation Schedules
- Financial Statements (Year End)
- General and Private Ledgers, Year End Trial Balances
- Insurance Records, Current Accident Reports, Claims, Policies
- Investment Trade Confirmations
- IRS Revenue Agents' Reports
- Journals
- Legal Records, Correspondence and Other Important Matters
- Minutes Books of Directors and Stockholders
- Mortgages, Bills of Sale
- Property Records
- Retirement and Pension Records
- Tax Returns and Worksheets
- Trademark and Patent Registrations