

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

POLICY NUMBER: 0516-24

CATEGORY: Administrative Services

CONTENT: HCSD Record Retention

APPLICABILITY: This policy applies to all Public records in the Health Care Services Division Administration (HCSDA) and Lallie Kemp Medical Center (LKMC)

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Note: Approval signatures/titles are on the last page

**LSU HEALTH CARE SERVICES DIVISION
RECORD RETENTION POLICY**

I. STATEMENT OF POLICY

The purpose of this policy is to establish guidelines and procedures for the retention of Public Records in accordance with Louisiana Secretary of State's Office.

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 Health Care Services Division (HCSD). This policy takes all of the varying requirements into consideration in order to assure records are retained for archive and audit purposes.

HCSD Administration (HCSDA) and Lallie Kemp Medical Center (LKMC) will maintain separate Record Retention Schedules.

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

Note: Any reference herein to Health Care Services Division (HCSD) also applies and pertains to Lallie Kemp Medical Center (LKMC).

II. IMPLEMENTATION

This policy and subsequent revisions to the policy shall become effective upon the approval and signature of the HCSD Chief Executive Officer (CEO) or Designee.

III. DOCUMENT RETENTION SCHEDULE (Attachment A is designated as HCSD Administration. Lallie Kemp Medical Center will have a separate Schedule)

- A. Identifies the appropriate Departments/Sections responsible for maintaining and archiving the source documents, as well as complying with, and enforcing procedures covered by this policy.
- B. Identifies the "Destroy After" date. This date may not be modified.
- C. Changes and/or revisions to the Records Retention Schedule may be recommended to the CEO/Designee for HCSDA and to the LKMC Hospital Administrator/Designee for review and subsequent submittal to the LA Secretary of State's Office, if applicable.
- D. The respective Section as noted in the Records Retention Schedule 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, as applicable.

- E. Exception to Retention Period (Destroy After Date)
 - 1. If any litigation, claim, or audit is started before the expiration of the required retention period, the records shall be retained for four (4) years following resolution and final action of any litigation, claims or audit findings involving the records.
 - 2. When records are transferred to, or maintained by, a different Federal or State agency, the record retention is the responsibility of that agency.

IV. PUBLIC ACCESS TO RECORDS

- A. A Federal 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 to timely, unrestricted access of any pertinent records of HCSD to conduct audits, examinations, excerpts, transcripts and copies of such documents.
- B. This right also includes timely and reasonable access to HCSD staff for the purpose of interview and discussion related to such documents. The right of access in this paragraph is not limited to the required retention period but shall last as long as records are retained.
- C. 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/Designee or LKMC Hospital Administrator/Designee for review and approval prior to the records being made available.
- D. Limits on Public Access
 - 1. Unless required by statute, no Federal agency shall place restrictions on HCSD that limit public access to such records that are pertinent to a sponsored program.
 - 2. The Federal agency must be able to demonstrate that such records shall be kept confidential and would be exempted from disclosure pursuant to the Freedom of Information Act (5 USC 552) if records had belonged to the Federal agency.

V. RECORDS OFFICER DESIGNATION FORM

- A. In compliance with La R.S.44:411, the HCSD CEO/Designee shall designate a Records Officer for HCSD Administration (HCSDA) to act as a liaison between HCSDA and the State Archives on all matters related to records management and communication.
- B. In compliance with La R.S.44:411, the LKMC Hospital Administrator/Designee shall designate a Records Officer for LKMC to act as a liaison between LKMC

and the State Archives on all matters related to records management and communication.

- C. The applicable form shall be completed by the designated Records Officer (on or before July 1st of each state fiscal year) and submit form to the LA Secretary of State's Office.
- D. Form shall be retained by the designated Records Officer.
- E. Should the Records Officer change during the state fiscal year, a new form shall be completed and submitted to the LA Secretary of State's Office within thirty (30) calendar days.

VI. EXCEPTION

The HCSD CEO or Designee may waive, suspend, change or otherwise deviate from any provision of this policy they deem necessary to meet the needs of the agency as long as it does not violate the intent of this policy; state and/or federal laws; Civil Service Rules and Regulations; LSU Policies/Memoranda; or any other governing body regulations.

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