

Rising Treetops at Oakhurst

Policy & Procedures

Records Management and Retention

Rising Treetops at Oakhurst (RTO) recognizes that a critical aspect of its Standards of Conduct policy involves fostering a culture that promotes responsible, honest conduct, transparency in all business transactions and adherence to the laws and regulations of the government agencies that fund its work and promulgate standards of care. In order to achieve these important goals, RTO works to facilitate prevention of improper or illegal activities and to provide mechanisms to detect any violations.

Policy and procedures for client records management and retention:

1. Once an application for service is received, it is date stamped and a file is started. The family or adult applicant is called to confirm receipt.
2. The application is reviewed by the camp director and/or the assistant director of services within 48 hours and passed on to the interviewer/assessment coordinator, who schedules an interview within 2 weeks whenever possible.
3. A file audit sheet is created by the interviewer/assessment coordinator noting which documents were received (Application, Medical, Psychological, Psychosocial Eval., LOC, NOD, ISP and/or addendum) and their expiration dates are noted. After the interview, all casework and interview notes are brought to an administrative team meeting to discuss whether the applicant is appropriate for services at RTO and which program(s) the consumer would benefit most from.
4. If a consumer is approved for respite services, the interviewer/assessment coordinator contacts the family and/or MSC to determine funding sources and get all documents needed to submit the DDP-1 and DDP-1 Supplement (if OPWDD eligible). If the consumer is not approved for service, the interviewer/assessment coordinator will contact family and/or MSC to notify them. Files are reviewed annually and current, up-to-date documents are requested from families and/or MSCs.
5. All records are kept for 3 years after age 21 if a consumer does not return for service. All records are kept in a secure file room onsite for the duration of time the consumer is on the agency's current roster plus three years after the consumer no longer attends. We keep records for consumers under age 21 who no longer attend until they are 21 plus 3 years. Older records for non-current consumers may be stored in an on-site storage unit.

Storage and retention policy for other business documents:

This policy identifies the record retention responsibilities of staff, volunteers, members of the board of directors, and outsiders for maintaining and documenting the storage and destruction of the RTO’s documents and records.

The organization’s staff, volunteers, members of the board of directors, committee members and outsiders (independent contractors via agreements with them) are required to honor the following rules:

1. Paper or electronic documents indicated under the terms for retention in the following section will be transferred and maintained by the appropriate staff person responsible for the records;
2. All other paper documents will be destroyed after three years;
3. All other electronic documents will be deleted from all individual computers, data bases, networks, and back-up storage after one year;
4. No paper or electronic documents will be destroyed or deleted if pertinent to any ongoing or anticipated government investigation or proceeding or private litigation (check with the Executive Director for any current or foreseen litigation if employees have not been notified); and
5. No paper or electronic documents will be destroyed or deleted as required to comply with government auditing standards.

Type of Document	Minimum Requirement
Accounts payable ledgers and schedules	7 years
Audit reports	Permanently
Bank reconciliations	4 years
Bank statements	4 years
Checks (for important payments and purchases)	Permanently
Corporate Compliance Plan Records (adoption, implantation and operational records)	6 years from plan implementation, or any amendments
Contracts, mortgages, notes, and leases (expired)	7 years
Contracts (still in effect)	Contract period + 7 years
Correspondence (general)	2 years
Correspondence (legal and important matters)	Permanently
Correspondence (with clients, client families and vendors)	2 years

Type of Document	Minimum Requirement
Deeds, mortgages, and bills of sale	Permanently
Depreciation schedules	Permanently
Duplicate deposit slips	4 years
Employment applications (not hired)	3 years
Expense analyses/expense distribution schedules	7 years
Year-end financial statements	Permanently
Insurance records, accident reports, claims, policies, and related documents (active and expired)	Permanently
Internal audit reports	3 years
Inventory records for products, materials, and supplies	4 years
Invoices (to customers, from vendors)	7 years
Minute books, bylaws, and charter	Permanently
Payroll records and summaries	7 years
Personnel files (terminated employees)	7 years
Retirement and pension records	Permanently
Tax returns and worksheets	Permanently
Timesheets	7 years
Trademark registrations and copyrights	Permanently
Withholding tax statements	7 years