

Policy and Procedure		
SUBJECT: Record Retention	DEPARTMENT: Regulatory Compliance, Risk Management and Government Affairs	
ORIGINAL EFFECTIVE DATE: 03/09	DATE(S) REVIEWED/REVISED: 01/11, 04/12, 03/14, 02/15, 06/18, 06/19, 06/20, 07/21, 07/22, 07/23	
APPROVED BY: Chief Compliance and Risk Officer	NUMBER: RA 64	PAGE: 1 of 2

SCOPE:

Providence Health Plan, Providence Health Assurance and Providence Plan Partners as applicable (referred to individually as “Company” and collectively as “Companies”).

APPLIES TO:

<u>Fully Insured</u>						
<u>Individual</u>	<u>Small Group</u>	<u>Large Group</u>	<u>Self-Insured</u>	<u>Medicare</u>	<u>Medicaid</u>	<u>Delegated Services to Ayin</u>
<input type="checkbox"/> Oregon On Exchange	<input type="checkbox"/> Oregon On Exchange (SHOP)	<input type="checkbox"/> Oregon	<input type="checkbox"/> ASO	<input type="checkbox"/> Medicare	<input type="checkbox"/> Medicaid	<input type="checkbox"/> YCCO
<input type="checkbox"/> Oregon Off Exchange	<input type="checkbox"/> Oregon Off Exchange (SHOP)	<input type="checkbox"/> Washington	<input type="checkbox"/> PBM			<input type="checkbox"/> WHA
<input type="checkbox"/> Washington Off Exchange						
<input checked="" type="checkbox"/> APPLIES TO ALL ABOVE LINES OF BUSINESS						

POLICY:

Companies follow the Providence St. Joseph Health (PSJH) requirements for effective records management, including record retention and disposal, as set forth in Policy [PSJH-RIS-715](#). All departments are responsible for establishing and documenting appropriate records management procedures and practices, and for ensuring all department personnel are aware of the requirements.

Companies ensure that all records, as defined by PSJH-RIS-715 and applicable federal rules, are retained for a period of calendar year plus ten years in accordance with CMS requirements.

PROCEDURE:

For consistency across lines of business, all Company departments are required to retain records for a period of calendar year plus ten years. Questions concerning whether records must be kept onsite

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or archived to an external location are presented to the Regulatory Compliance, Risk Management and Government Affairs department for review.

Decisions regarding location will be determined by Regulatory Compliance, Risk Management and Government Affairs and based on record content and format, accessibility needs, optimal use of space and cost-efficiency.

REFERENCES:

- 42 CFR §422.504(d) and (e); 422.504(i)(2)(i)(ii)
- 45 CFR §156.705
- 45 CFR §156.340