



# **Record Retention Policy**



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## I. PURPOSE

This policy and procedure is written to comply with Regulations Title 404 Chapter 4-013.02D – 4-013.02I and 175 Chapter 3 005.04.

## II. AUTHORITY

This policy and procedure is implemented with the approval of the ABLED, Inc. Board of Directors and/or its designee.

## III. PROCEDURAL DIRECTIVES

Information will be retained, at a minimum, as follows:

### A. Retention of Individual's Master File Information

1. Most of the Individual's information will be maintained on Therap while additional information may be kept electronically on ABLED's secure computers.
2. Information in the Individual's Master File will be filed and retained as listed on Appendix A – Individual Master File Format and Retention.
3. Information retained will be filed in the Individual's Master File.
4. For minors, information will be retained for the number of years specified for each section after they reach age 19.
5. Individual's Master Files will be maintained in the main office where they are easily accessible to the appropriate staff.

### B. Retention of File Information

1. Information in the File will be filed and retained as listed on Appendix B - File Format and Retention.
2. Information retained will be filed in the File or the Master File.
3. Files will be maintained where they are easily accessible to the appropriate staff.

### C. Retention of Administrative Forms

1. Administrative Forms will be retained as listed on Appendix C - Retention of Administrative Forms.
2. Medical forms will be retained as stated in Section G. Medical Forms and Retention of the Medication Administration Manual.
3. Personnel information will be retained as stated in Appendix C – Retention of Administrative Forms.
4. Financial forms will be retained as stated in the General Accounting Manual and in Appendix C – Retention of Administrative Forms.



#### **D. Additional Information**

ABLED may retain additional information at its discretion.

#### **E. Record Destruction**

Confidential records must be destroyed so that they are illegible. Paper records must be shredded and electronic information must be completely expunged from storage devices/media or the devices/media destroyed.

### **IV. APPENDICES**

#### **A. Individual's Master File Schedule**

#### **B. File Schedule**

#### **C. Administrative Forms File Schedule**



## A. Individual's Master File Schedule

FORMAT	RETENTION
Current Photo	Discard when photo is updated - at least every 3 years for adults and annually for minors.
<b>Section I – Individual:</b>	
Individual-centered plans; Individual-centered assessments; personal information and history; communication dictionaries, etc.	Retain while the individual is in services and for a minimum of six years after the termination of services.
<b>Section II - Support Services</b>	
Career Plan All career planning-related information	Retain while the individual is in services and for a minimum of six years after the termination of services.
ISP's In chronological order	Retain while the individual is in services and for a minimum of six years after the termination of services.
Assessments Current year assessments; DDD-2A ; Speech Reports	Retain for a minimum of six years.
Human & Legal Review Positive Behavioral Supports (FBA; intervention plans; safety plans; programs); rights restrictions	Retain while the individual is in services and for a minimum of six years after the termination of services.
Psychotherapeutic Meds	Retain for a minimum of six years for adults and six years after age 19 for minors.
Review Forms (Rights, Complaint Mechanism)	Retain for a minimum of two years.
<b>Section III - Health Services</b>	
Current Medication and/or Treatments	Retain while the individual is in services & for six years after the termination of services.
Assessment Record	
Prescription Medication History & Response Profile	
Physician's Order Form for PRN Non- Prescription Meds - Criteria for Administration of PRN Non- Prescription Meds	Retain for a minimum of six years for adults and six years after age 19 for minors.
Suspected Adverse Med Reaction Form	
Consultation Reports; Current Medication and/or Treatment; copies of prescriptions, etc.	Retain for a minimum of six years for adults and six years after age 19 for minors.
Physical Exam. Reports	
Dental Reports	
Eye Exam Reports	
Psychological Reports	
Medical Safety Plans	
Miscellaneous Medical/Healthcare; Occupational Health Hazard; Therapy Progress Report; Healthcare Delegation Form specific to the individual; etc.	
Allergy and Immunization Records	



FORMAT	RETENTION
Seizure Reports	Retain for a minimum of six years or longer if seizures are infrequent or as requested by a medical practitioner.
<b>Section IV - Finances/Generic Information</b>	
Releases Three Part Consent Form; Confidential Information Release/ Request Form; HIPAA Privacy Statement; Miscellaneous Release(s)	Retain while the individual is in services and for a minimum of six years after the termination of services.
Income and Expense Sheets (optional)	Retain for a minimum of 7 years.
Notice of Costs	Retain while the individual is receiving services and for six years after the termination of services.
Miscellaneous Finance, if applicable SSI; SSA; Health & Human Services; Burial Trusts; insurance information, etc.	Retain for a minimum of 7 years (with the exception of the Burial Trust which will be kept until the individual terminates services).
Contracts	Retain for a minimum of 7 years.
<b>Section V - Social Information</b>	
Intake Entry Medical History Form; Intake Summary & Updates; Orientation Checklist	Retain while the individual is receiving services and for six years after the termination of services.
Change of Status	
Miscellaneous Guardianship Papers; Advance Directive; raised seal Birth Certificate; Social Security Card; current photo ID, etc.	
<b>Section VI - Correspondence</b>	
Correspondence	Retain for at least one year



## B. File Schedule

<b>Section I – Individual:</b>	
Individual-centered plans; Individual-centered assessments; personal information and history; communication dictionaries, etc.	
<b>FORMAT</b>	<b>RETENTION</b>
The Emergency Information Sheet will be filed on Therap.	Discard as updated.
Career Plan Interview * All other career planning information may be kept in the Employment files	Retain while the individual is in services and for a minimum of six years after the termination of services.
Daily Routine	Discard as updated
History Of Skills Acquired	Retain while the individual is in services
ISP's	Discard as updated
Positive Behavioral Supports * (Intervention Plans/Safety Plans/Positive Support Programs) & Rights Restrictions	Retain for 6 years
Support Programs	Retain for 6 years
Staff Objectives	Retain for 6 years
Healthcare Staff Objectives & Medical Safety Plans	Retain for 6 years
Inventories Clothing Inventory and Possessions Inventory	Clothing Inventory - discard as updated; Possessions inventory – keep while the individual is in services
<b>Additional information (such as assessments, releases, etc.) may be kept in the File at ABLED's discretion.</b>	



### C. Administrative Forms Schedule

FORMAT	RETENTION
☆ Menus & Substitution Lists (CDD's only)	Retain for six months
☆ Fire Marshal Certificate of Occupancy ☆ Health & Human Services State License	Discard when updated
☆ Attendance Records/Intervention Units Reports/ Provision of Services records ☆ Area & Regional Meeting Minutes ☆ Emergency Evacuation Reporting Form Fire and Tornado ☆ Fire Alarm Inspections ☆ All Safety & Sanitation Checklists ☆ Staff Schedules ☆ Training/In-service Participation Signature Sheets	Retain for six years
☆ Staff Evaluations	Retain while employed & for five years after termination
☆ Abuse & Neglect Allegations & Investigations ☆ Incident Reports	Retain while in services & for six years after termination
☆ Contract-related forms, such as earnings, 90/10 forms, community wage surveys, etc.	Retain for seven years
☆ All financial records of persons supported by the agency	Retain for seven years while in services and for seven years after date of termination
☆ Vehicle Safety Checklists & Records	Retain while the vehicle is in service
☆ CEI Information ☆ Formal Complaint Information Complaint Mechanism and Appeals ☆ State Certification & Licensing Surveys	Retain forever