

State Operated Community Program

Retention sched. by type -- Financial (Green), Medical (Red) and Residential (Blue) IRs (Yellow)

Current – Calendar Year (Jan – Dec) **Archive** – *SOCP Central Office 4494 River Rd.*

Store – *Store in home / * transfer with client*

Type	Document	Volume 1	Volume 2	Retention	Status
Residential (Y)	Incident Reports (separate notebook)	Current	Yes - 2 yrs	7 years after death/discharge	Archive
Financial (G)	Tax Records	Current	Yes - 7 yrs.	7 years after death/discharge	Archive
Financial (G)	Financial Records	Current	Yes - 7 yrs.	7 years after death/discharge	Archive
Financial (G)	Vocational Pay Record	Current	Yes – 7 yrs.	7 years after death/discharge	Archive
Financial (G)	Vocational Payroll Data Sheet (SOVS)	Current	Yes – 7 yrs. Copy	7 years after death/discharge	Archive
Financial (G)	Vocational Payroll Data Sheet (direct hire)	Current	Yes – 7 yrs. Original	7 years after death/discharge	Archive
Medical (R)	Physician Dental Visits / Notes	Current/3yrs	Yes – 2 yrs.	7 years after death/discharge	Archive
Medical (R)	Physician Health Assessment	Current	Yes – 2 yrs.	7 years after death/discharge	Archive
Medical (R)	Physician's Orders (incl. Addendums)	Current	Yes – 2 yrs	7 years after death/discharge	Archive
Medical (R)	Consent for Procedures (medical)	Current/2yrs	Yes – 2 yrs	7 years after death/discharge	Archive
Medical (R)	RN Progress Notes/Acute Care Plan	Current/3mo	Yes – 2 yrs.	7 years after death/discharge	Archive
Medical (R)	RN Tracking Sheet	Current	Yes – 2 yrs.	7 years after death/discharge	Archive
Medical (R)	RN Assessment & Care plan	Current	Yes – 1 yr.	7 years after death/discharge	Archive
Medical (R)	Protocols (Medical)	Current	Yes – 1 yr.	7 years after death/discharge	Archive
Medical (R)	Health List	Current	Yes – 1 yr.	7 years after death/discharge	Archive
Medical (R)	Seizure Calendar	Current	Yes – 2 yrs.	7 years after death/discharge	Archive
Medical (R)	Seizure Report	Current	Yes – 2 yrs.	7 years after death/discharge	Archive
Medical (R)	Anticonvulsant	Current	Yes – 2 yrs.	7 years after death/discharge	Archive
Medical (R)	Balance Test	Current	Yes – 2 yrs.	7 years after death/discharge	Archive
Medical (R)	Dietary Assessment	Current	Yes – 2 yrs.	7 years after death/discharge	* Store
Medical (R)	HIPPA Forms	Current	Yes – 2 yrs.	7 years after death/discharge	* Store
Medical (R)	Hospitalization & Surgery Records	Current	Yes – 2 yrs.	7 years after death/discharge	* Store
Medical (R)	Immunization Records	Current	Yes – 2 yrs.	7 years after death/discharge	* Store
Medical (R)	Lab Results	Current/1 yr	Yes – 2 yrs.	7 years after death/discharge	* Store
Medical (R)	Physical Therapy Assessment	Current	Yes – 2 yrs.	7 years after death/discharge	* Store
Medical (R)	Respiratory Therapy Assessment	Current	Yes – 2 yrs.	7 years after death/discharge	* Store

Medical (R)	Speech Pathology Assessment	Current	Yes – 2 yrs.	7 years after death/discharge	* Store
Medical (R)	Psychiatric Drug Record	Current	Yes	7 years after death/discharge	* Store
Medical (R)	MAR/TAR Flow Sheets	Current	Yes - 3 yrs	Store in Home	Destroy
Medical (R)	Menses Record	Current	Yes - 2 yrs	Store in Home	Destroy
Medical (R)	Weight Record	Current	Yes - 3 yrs.	Store in Home	Destroy
Medical (R)	Graphic Chart (medical)	Current	Yes - 6 mo.	Store in Home	Destroy
Medical (R)	Medical ID Card	Current	No	Until Superseded	Destroy
Medical (R)	Individual Summary Sheet	Current	No	Until Superseded	Destroy
Medical (R)	Emergency Resuscitation Authorization	Current	No	Until Superseded	Destroy
Medical (R)	FTC Dental Discharge Summary	Current	No	Volume 1 permanent	* Store
Medical (R)	FTC Medical Discharge Summary	Current	No	Volume 1 permanent	* Store
Residential (B)	Court Records	Current	Yes - 2 yrs	7 years after death/discharge	Archive
Residential (B)	Behavior Support Plan	Current	Yes - 3 yrs	7 years after death/discharge	Archive
Residential (B)	ISP (incl. Safety/Financial Plan)	Current	Yes - 2 yrs.	7 years after death/discharge	Archive
Residential (B)	ISP Monthly Reviews	Current	Yes - 2 yrs.	7 years after death/discharge	Archive
Residential (B)	Progress Notes	Current/3 mo	Yes - 2 yrs.	7 years after death/discharge	Archive
Residential (B)	Functional Assessment	Current	Yes - 2 yrs.	7 years after death/discharge	Archive
Residential (B)	Personal Focus Worksheet	Current	No	7 years after death/discharge	Archive
Residential (B)	Miscellaneous Assessments	Current	Yes - 2 yrs	7 years after death/discharge	Archive
Residential (B)	Occupational Therapy Assessment	Current	Yes - 2 yrs.	7 years after death/discharge	* Store
Residential (B)	Informed Consent Forms (non-medical)	Current	Yes - 2 yrs.	7 years after death/discharge	* Store
Residential (B)	Sign in Sheets	Current	Yes - 4 yrs.	Store in Home	Destroy
Residential (B)	Petty Cash	Current	Yes - 4 yrs	Store in Home	Destroy
Residential (B)	Time Sheets	Current	Yes - 4 yrs	Store in Home	Destroy
Residential (B)	Client Needs Meeting Documentation	Current	No	Store in Home	Destroy
Residential (B)	Client Transfer / Exit Documentation	Current	No	Store in Home	Destroy
Residential (B)	Community Integration Data	Current	Yes - 3 yrs	Integrate into Monthly/ISP	Destroy
Residential (B)	Day Program Information	Current	Yes - 2 yrs	Integrate into Monthly/ISP	Destroy
Residential (B)	Task Analysis/Procedures Sheet	Current	Yes - 2 yrs.	Integrate into Monthly/ISP	Destroy
Residential (B)	Protocols (Behavior)	Current	No	Until superseded	Destroy
Residential (B)	RTR	Current	No	Until superseded	Destroy
Residential (B)	Behavior Data (raw)	Current/6 mo			

State Operated Community Program

30 days	3 months	6 months	Calendar Year	3 years	4 years	7 years	Until superseded
<ul style="list-style-type: none"> • Outing requests • Cleaning lists • Menus • Daily logs 	<ul style="list-style-type: none"> • Overtime Rotation • VISA logs • Injury tracking form • RN Progress notes 	<ul style="list-style-type: none"> • Raw data 	<ul style="list-style-type: none"> • Phone logs • Outing logs • Medical graphic chart • Client financial records • Bank statements • SS statements • Medicare letters • Insurance • Vehicle logs • 4615 Client Monthly Summary (12 months from last ISP). 	<ul style="list-style-type: none"> • Fire drills • Safety Checklists • Work Safety Checklist • Safety meeting minutes • Staff training • Controlled meds sheets • Mars/Tars • Med count sheets • Drug disposal • T/A community inclusion • Day/VOC data 	<ul style="list-style-type: none"> • Petty cash record (ledger & receipts) • Monthly schedule • Time sheets • Leave slips • Sign-in sheets 	<ul style="list-style-type: none"> • Direct hire/ SOVS payroll data 	<ul style="list-style-type: none"> • POLST/DNR forms • Staffing expectations • 24-hour schedule • Vocational assessments • Individual summary sheets • Medical ID card • Clients rights sign off • On-call list

Volume 1	Volume 1 Permanent	Volume 2	Incident Report Book (IR)	Risk Tracking Record Book (RTR)	Fairview Training Center (FTC) Black Book
<ul style="list-style-type: none"> • 1 month "4615" Client Monthly Review • Current ISP • Documents of Support • Balancing forms • Labs x1 year • 3 months Prog. Notes 	<ul style="list-style-type: none"> • Hospital record • Immunization record • Seizure record • Weight record • Current HIPPA • Medical graphics 	<ul style="list-style-type: none"> • Overflow of Volume 1 	<ul style="list-style-type: none"> • Incident reports • ISP-ISP 	<ul style="list-style-type: none"> • Current RTR updates • Supporting evaluations (copies) 	<p>Always goes with client</p>

Items that "Stay in the Home" when a client moves:

- Needs meeting documentation
- Transfer and exit documentation