

State Operated Community Program
SOCP Policy Memorandum

Topic:	Archiving "Folders" procedure	Issue date:	12/15/10
Related policy:	2.009 Archiving		
Policy/Procedure Memorandums/Transmittals (PT) - should be considered high priority, and processed immediately. They are used to disseminate new federal, state, and program policies or administrative rules, changes in existing policy or administrative rules, policy / procedure clarifications and manual updates.			

Applies to:*(check all that apply)*

- | | | |
|--|--|---|
| <input type="checkbox"/> All employees includes: | <input checked="" type="checkbox"/> Prog. Managers | <input checked="" type="checkbox"/> Site Managers |
| <input type="checkbox"/> Nurses | <input checked="" type="checkbox"/> BVS1s | <input checked="" type="checkbox"/> BVS2s |
| <input checked="" type="checkbox"/> Cent. Office staff | <input checked="" type="checkbox"/> Group home staff | <input checked="" type="checkbox"/> Trainers |
| <input type="checkbox"/> HR | <input type="checkbox"/> Other : | |

Implementation date: 12/15/10

FROM: Elaine Stauffer, Business Manager 

SUBJECT: Archiving Folders by Color - UPDATE

The attached "**Retention Schedule by Type**" has been updated to correct the omission of IRs in yellow folders.

Other designated colors remain the same: **Incident Reports** (Yellow), **Financial** (Green), **Medical** (Red) and **Residential** (Blue). Please replace your existing files with the attached.

Attachments:

- **Retention Schedule / Archiving & Storage Guidelines (12/10)**
- **Retention Schedule by Type (12/10)**

SOCP Policy Procedures and Guidelines page:

<http://www.dhs.state.or.us/spd/tools/dd/socp/policy.html>

http://www.dhs.state.or.us/spd/tools/dd/socp/policy/guidelines/retention_schedule.pdf

SOCP Policy Memorandums page (listed by date):

<http://www.dhs.state.or.us/spd/tools/dd/socp/memorandums.html>

If you have questions about this information, contact:

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Retention Schedule / Archiving & Storing Guidelines

A “**Retention Schedule**” document has been provided to assist with storing and archiving client and house files. This will provide specifics on how long a document should be kept and whether it should be stored at the Home, or transferred to Central Office for archiving. The “**Retention Schedule**” document provides the following columns as guidelines.

Document	Document name
Volume 1	Calendar Year (Jan 1 – Dec 31) for Current Year ISP date to ISP date. (Ex. March 2009 - March 2010)
Volume 2	If document is to be stored more than current year, see the specifics for each document and how long it should be kept (ex: 2 years 2009-2008)
Retention	Length of time document must be archived before discarded.
Status	Archive, Store at house, Store and transfer with client, and/or Destroy

House documents: such as Sign-in sheets, Time sheets, and Petty Cash records, should remain in the House for the specified period of time before discarding/destroying.

Transfers out-of-SOCP: ONLY the black “Fairview Training Center (FTC) book,” containing history before SOCP, and the transfer ISP – goes with the client when they move out of the program. All other documents must be prepared for archiving at SOCP Central Office.

Transfers within SOCP: all client files follow the client.

Filing/Storing: When storing documents, do this chronologically by calendar year with oldest records in back of file and most current records in the front of file.

Archiving: Client files must be reviewed at the house and put into order before sending to Central office for Archiving.

Boxes will be returned if they contain:

- Non-archive related materials
- More than one client per box

Archive boxes must be labeled with:

- Client Name (last name, first name)
- Date range of documents contained in box (ex: 2004-2008)

Retention Schedule / Archiving & Storing Guidelines

- Documents separated by type and in chronological order. Remove and destroy duplicates and keep originals
- Boxes must be numbered (1 of 5, 2 of 5, 3 of 5, etc....)

After Archive boxes have been prepared according to guidelines:

- **Site Manager**, will prepare VOC work order and email the work order to the VOC/Day Services Manager.
- **VOC/Day Services Manager** will contact **Business Manager** and coordinate VOC pick up and delivery to Central Office.
- **VOC/Day Services Manager** will notify the “SOCP Central Office Receptionist” via email –of expected “Archiving” arrival date/time.

To Order Archive supplies:

- Use **DHS 4644** “Non-Stocked/Specialty” Supplies, order form
- Order “Archive” boxes
- Order files – red, green, blue and yellow

Type

Financial (Green), Medical (Red), Residential (Blue) and Incident Reports (Yellow)

See example:

<p>Ordering “Archive Supplies:</p> <ul style="list-style-type: none"> • DHS 4644 “Non-Stocked /Specialty” • Boxes = archive boxes • Files = yellow, red, green and blue. 	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="4" style="text-align: center;">“Non-Stocked/Specialty” Supplies:</td> </tr> <tr> <td colspan="4">SM signature: _____</td> </tr> <tr> <td colspan="2">House: _____</td> <td colspan="2">date: _____</td> </tr> <tr> <th style="text-align: left;">Page#:</th> <th style="text-align: left;">Item # and Description</th> <th style="text-align: left;">Size</th> <th style="text-align: left;">Qty.</th> </tr> <tr> <td style="text-align: center;">-</td> <td>archive boxes</td> <td style="text-align: center;">-</td> <td style="text-align: center;">6 ea</td> </tr> <tr> <td></td> <td>yellow archive folders</td> <td></td> <td style="text-align: center;">6 ea</td> </tr> <tr> <td></td> <td>blue " "</td> <td></td> <td style="text-align: center;">4 ea</td> </tr> <tr> <td></td> <td>green " "</td> <td></td> <td style="text-align: center;">3 ea</td> </tr> <tr> <td></td> <td>red " "</td> <td></td> <td style="text-align: center;">5 ea</td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td colspan="2">No tabs are needed for archiving folders.</td> <td style="text-align: center;">DHS 4644</td> </tr> </table>	“Non-Stocked/Specialty” Supplies:				SM signature: _____				House: _____		date: _____		Page#:	Item # and Description	Size	Qty.	-	archive boxes	-	6 ea		yellow archive folders		6 ea		blue " "		4 ea		green " "		3 ea		red " "		5 ea										No tabs are needed for archiving folders.		DHS 4644
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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)	HPPA 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			

Residential (B)	Clients Rights Sign-off (non-medical)	Current	No	Until superseded	Destroy
Residential (B)	Interests Survey	Current	No	Until superseded	Destroy
Residential (B)	Positioning Schedules	Current	No	Until superseded	Destroy
Residential (B)	Staffing Expectations	Current	No	Until superseded	Destroy
Residential (B)	Work Procedures	Current	No	Until superseded	Destroy
Residential (B)	Work Schedules	Current	No	Until superseded	Destroy
Residential (B)	OT/PT Work Schedule	Current	No	Until superseded	Destroy
Residential (B)	24 Hour Schedule	Current	No	Until superseded	Destroy

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