

RECORDS RETENTION SCHEDULE

Form RC-050 (Revised 01/2010)



STATE OF CONNECTICUT

Connecticut State Library

Office of the Public Records Administrator

231 Capitol Avenue, Hartford, CT 06106

www.cslib.org/publicrecords

RETENTION SCHEDULE

11-12-1

- AUTHORITY:** The Office of the Public Records Administrator issues this retention and disposition schedule under the authority granted it by CGS §11-8 and §11-8a.
- FORMAT:** Retention periods listed on this schedule apply to the record, regardless of physical format. Records may be either hard copy or electronic. If the record is electronic, the custodian of the record must be able to interpret and retrieve the data for the minimum retention period listed for the records series.
- DISPOSITION AUTHORIZATION:** This schedule is used concurrently with the *Records Disposition Authorization* (Form RC-108). The RC-108 must be signed by the agency Records Management Liaison Officer (RMLO), the State Archivist, and the Public Records Administrator *prior* to the destruction of public records.

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|--|--|---|
| AGENCY: Department of Developmental Services (DDS) | AGENCY ADDRESS: 460 Capitol Avenue, Hartford, CT 06106 | This schedule is: <input type="checkbox"/> new <input checked="" type="checkbox"/> revised |
| PROGRAM / UNIT: All Agency Programs | | If revised, superseded schedule number(s): 02-11-1; 96-11-1 |

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|---|--|--|-----------------------------------|
| RMLO (type or print): Lori Hall | TITLE (type or print): Fiscal Administrative Manager | APPROVED (State Archivist): <i>Charles H. Jones</i> | DATE: 9/13/11 |
| APPROVED (RMLO): <i>L. Hall</i> | DATE: 9-7-11 | APPROVED (Public Records Administrator): <i>LeAnn K. Power</i> | EFFECTIVE DATE: 9/13/11 |

| SERIES NUMBER | RECORDS SERIES TITLE & DESCRIPTION | APPROVED RETENTION PERIOD | | | NOTES & CITATIONS |
|---------------|---|---|---|---|--|
| | | Office (A) | Off-site (B) | Total (A + B) | |
| 01. | Audit and Inspection Files This series documents audits and inspections of DDS facilities and operations. Including but not limited to: annual quality audits; group home audits; Independent Professional Reviews (IPR); Individual Compliance Audits (ICA); internal audits for resource allocations; medication administration audits; quality monitor reports; quality service reviews; quarterly audit of infection control; state fire marshal inspection reports; utilization reviews; and audits. | 6 years from date of audit | - 0 - | 6 years from date of audit | |
| 02. | Birth to Three System Files This series documents early intervention services provided to children in the Birth to Three System. Including but not limited to: demographic data; evaluations; individualized family service plans; attendance data; progress notes; medical information; and related correspondence. | Until individual leaves the Birth to Three System | 6 years from date individual leaves the Birth to Three System | 6 years from date individual leaves the Birth to Three System | Records are maintained in accordance with CGS §17a-248 et seq. |

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| 03. | Client Eligibility Determination Files This series documents resource allocation and eligibility for clients to participate in DDS program. Including but not limited to: eligible, inactive, and ineligible determinations; and related correspondence. | 10 years from date of application | - 0 - | 10 years from date of application | |
| 04. | Client Financial Records This series documents financial records of clients in DDS programs. Including but not limited to: bank statements; check registers; old checks; daily transaction records; monthly account balance forms; cash receipts and disbursements journals; tax records; and related correspondence. | 3 years, or until audited, whichever is later | - 0 - | 3 years, or until audited, whichever is later | |
| 05. | Client Investigation (Abuse and Neglect) Files This series documents investigation into abuse and/or neglect of clients. Including but not limited to: Intake Reports; Investigation Reports; Recommendation Reports; Abuse and Neglect Form M5; and related correspondence. | 10 years from date of client's death | - 0 - | 10 years from date of client's death | See CGS §52-577d and §584 for statute of limitation. See CGS §53a-320 for definition of abuse and related penal offenses. |
| 06. | Client Master Files This series documents service provided to clients aka "Individual Plan Files." Including but not limited to: Individual Plans; Follow Along Plans; Program reviews; Interdisciplinary Team Meeting minutes/notes/etc.; Monthly data summaries; Monthly reviews; Over-all plan of service or Individual Plan invitations; quarterly or six month reviews; Transition plan checklist; Daily living notes and activity schedules; and End Books (aka Group Books, Individual Books, Residential Books). Includes competency cards; likes/dislikes/preferred activities; active treatment schedules; positioning documentation; levels of supervision; communication overview packet; teaching strategies; guidelines/procedures; Recreation - Leisure Interest/Time Surveys; Recreation - Participation/progress notes; and related correspondence. | 10 years from date of client's death | - 0 - | 10 years from date of client's death | |
| 07. | Client Mortality Reviews Files This series documents reviews of deaths of clients. Including but not limited to: Mortality Review Packet (includes Mortality Review Committee form aka Face Sheet); Letters to Families and Notices of Review; Independent Mortality Review Board (IMRB) Corrective Actions and Plans; Mortality Review Records Tracking (including the Mortality Review Tracking Report and the Request for Information - Mortality Review); Post-Mortem Review Files; Weekly Death Reports; and related correspondence. | 10 years from date review completed | - 0 - | 10 years from date review completed | |

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| 08. | <p>Community Living Facilities Licensing and Certification Files</p> <p>This series documents licensure of public and private residential facilities which provide care, treatment or lodging for people with developmental disabilities. Including, but not limited to: Licenses /Certificates; Licensing letter of renewals; Vacate / Relocation Reports; and Licensing Files, including Licensing Application Packet, Initial Licensure Checklists, Requests for Licensure, Summary of Citations, Statement of Deficiencies (SOD), Plan of Corrections, (POC), and Summary Application for Renewal (SAR).</p> | 3 years from end of license, or until audited, whichever is later | - 0 - | 3 years from end of license, or until audited, whichever is later | |
| 09. | <p>Community Residential Facility Revolving Loan Fund Files</p> <p>This series documents the review and administration of community residential facility loans to organizations for construction or purchase and renovation of community-based residential facilities pursuant to CGS §17a-223. Including but not limited to: applications; approval letters; promissory notes; mortgage documents; and related correspondence.</p> | 6 years from end of contract, or until audited, whichever is later | - 0 - | 6 years from end of contract, or until audited, whichever is later | Records are maintained in accordance with CGS §17a-223. |
| 10. | <p>Day Program Files</p> <p>This series documents client records kept at each day program site. Including but not limited to: participant profiles and information sheets; participant contact sheets; assessments and evaluations; goals and objectives; and medical services.</p> | 10 years from date of client's death | - 0 - | 10 years from date of client's death | |
| 11. | <p>Day Program Provider Grant in Aid Files</p> <p>This series documents the application, issuance, management, and administration of Grant in Aid. Including but not limited to: Grant in Aid Applications; Grant in Aid Contracts; Lien Documentations; and related correspondence.</p> | 10 years from end of contract, or until audited, whichever is later | - 0 - | 10 years from end of contract, or until audited, whichever is later | |
| 12. | <p>Federal Waiver Reimbursements</p> <p>This series documents the application, issuance, management, and administration of house and community bond waivers from the federal government. Including but not limited to: waiver applications; waiver amendments; quality monitoring reports; and related correspondence.</p> | 6 years from end of contract, or until audited, whichever is later | - 0 - | 6 years from end of contract, or until audited, whichever is later | |
| 13. | <p>Human Rights Committee (HRC) Files</p> <p>This series documents client advocacy to ensure client rights were not taken away. Including but not limited to: case files; HRC packet (includes HRC face sheet and approval form); referrals and recommendations; quarterly and annual reports; and related correspondence.</p> | 10 years from date of client's death | - 0 - | 10 years from date of client's death | |

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| 14. | <p>Individual and Family Support Grants</p> <p>This series documents the application, issuance, management, and administration of individual and family support grants designed to support home care for clients. Includes approved, withdrawn, and denied applications. Including but not limited to: Grant Request/Authorization Forms and supporting documentation; Individual and Family Grant Agreements; and Loan Compliance Documents (includes documentation of all expenditures).</p> | <p>1 year from date of application for withdrawn/denied</p> <p>6 years from end of contract, or until audited, whichever is later for approved</p> | - 0 - | <p>1 year from date of application for withdrawn/denied</p> <p>6 years from end of contract, or until audited, whichever is later for approved</p> | |
| 15. | <p>Medicaid Billing Files</p> <p>This series document the billing process for individuals who receive Medicaid services from DDS. Including but not limited to: billing reports; attendance forms; provider enrollment forms; federal financial reimbursement records; fiscal intermediary (IFS) waiver service documentation forms; Medicaid claims; TANF (Temporary Aid to Needy Families) billing; and Medicaid waiver (title XIX) redeterminations.</p> | <p>3 years from date of submission of final expenditure report, or until audited, whichever is later [42 CFR §433.32]</p> | - 0 - | <p>3 years from date of submission of final expenditure report, or until audited, whichever is later [42 CFR §433.32]</p> | |
| 16. | <p>Medicaid Rate Setting Files</p> <p>This series documents the rate setting process for individuals who receive Medicaid services from DDS. Including but not limited to: provider utilization forms; rate calculations; and DSS rate correspondence.</p> | <p>6 years from date rate approved by DSS</p> | - 0 - | <p>6 years from date rate approved by DSS</p> | |
| 17. | <p>Medicaid Waiver Enrollment Files</p> <p>This series documents the waiver enrollment process for individuals who receive Medicaid services from DDS. Including but not limited to: individual consumer files; form 1576 - change/discharge; service documentation (service note documentation, time logs, environmental modification proposals, vehicle maintenance proposals, etc.); waiver application; enrollment and eligibility forms (includes DDS forms 219, 222, 223, DSS form W-1518, and the Waiting List Assessment Tool, form 225 PRAT HCBS Waiver Recommendation Form).</p> | <p>6 years from waiver determination date</p> | - 0 - | <p>6 years from waiver determination date</p> | |
| 18. | <p>Medicaid Audit Files</p> <p>This series documents the auditing process for individuals who receive Medicaid services from DDS. Including, but not limited to: service utilization billing documentation and waiver quality monitoring reports.</p> | <p>6 years from date of audit</p> | - 0 - | <p>6 years from date of audit</p> | |

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| 19. | <p>Planning and Resource Allocation Team (PRAT) Files</p> <p>This series documents the management of PRAT, whereby DDS identifies available resources, identifies individual consumer needs, assigns priority, implements waiting list policies and procedures, makes recommendations regarding applicants for waivers, and processes allocation of resources and referrals to available out-of-home residential group living settings and provider agency-based day services. Including but not limited to: planning lists; priority checklists waiting lists and allocation tracking records.</p> | 10 years from date of review, or date of decision, whichever is later | - 0 - | 10 years from date of review, or date of decision, whichever is later | |
| 20. | <p>Private Provider Residential and Day Program Contract Files</p> <p>This series documents contracts with private provider residential facilities and day programs. Including but not limited to: Annual Report of Residential And Day Services (formerly ACORE and CORE); master contracts and amendments; cost settlement letters; operations plans; rate letters for CLA's; room and board rates from DSS; Regional Transfer forms; Forensic Fiscal Planning forms; and related correspondence.</p> | 10 years from end of contract, or until audited, whichever is later | - 0 - | 10 years from end of contract, or until audited, whichever is later | |
| 21. | <p>Private Provider Vacated Facilities Files</p> <p>This series documents private providers who were licensed but vacated facility. Including but not limited to: review files (requests to vacate licensed residential facility, intra-agency correspondence, reviews of the Statewide Master Inventory of homes needing replacement, Facility assessment reports, and Relocation Plan); and related correspondence.</p> | 6 years from end of license, or until audited, whichever is later | - 0 - | 6 years from end of license, or until audited, whichever is later | |
| 22. | <p>Program Review Committee Files</p> <p>This series documents administration of the program review committee. Including but not limited to: Program Review Committee (PRC) / Human Rights Committee (HRC) Review of Pre-Sedation for Medical/Dental Care packets (face sheets, documentation of review, Considerations for Pre-Sedation for Medical/Dental Care, Signed Consent forms that includes documentation of medication side effects, Use of Pre-Sedation Medication for Medical/Dental Care Tracking form, etc.); PRC Approval/Signature Sheets; PRC Case Files; PRC Information Packets (PRC Fact Sheets, Requests for Medication/Program Review, etc.) and related correspondence.</p> | 10 years from date of client's death | - 0 - | 10 years from date of client's death | |
| 23. | <p>Residential Daily Log Books</p> <p>This series documents information pertaining to general daily communications and occurrences in residential facilities. Including but not limited to: daily log books.</p> | 3 years from last entry date in log book | - 0 - | 3 years from last entry date in log book | |

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| 24. | <p>Respite Client Documents</p> <p>This series documents service provided to clients in respite facilities, including basic information on needs, medication, contacts, etc. May include copies of medical records supplied by case manager or family.</p> | 10 years from date of client's death | - 0 - | 10 years from date of client's death | |
| 25. | <p>Respite Provider Contracts</p> <p>This series documents contracts with respite providers to provide services to DDS clients. Including but not limited to: respite agreements and respite evaluations.</p> | 6 years from end of contract, or until audited, whichever is later | - 0 - | 6 years from end of contract, or until audited, whichever is later | |

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