

**Cottonwood, Inc.
Policies and Procedures**

SECTION: Consumer Related
SUBJECT: Case Records Maintenance
EFFECTIVE DATE: April 1988

POLICY NO: 05-030
PAGE(S): 1 of 4
Licensing Regulation Reference: 30-63-29

Policy:

A case record is kept for each individual receiving Cottonwood, Inc. services (see Policy No. 05-029 Case Records). Due diligence in maintaining and updating records is applied and driven by regulatory guidelines and audits. A document is considered a record at the time it is executed.

Appropriate safeguards are applied to protect confidential records and minimize the possibility of loss or destruction of records. Records are kept under lock or electronically with reasonable protection against fire, water, and other hazards.

Procedures:

1. All policies and procedures related to confidentiality and safety of the case records described in Policy No 05-028 are applied to the financial and electronic files. All electronic files are backed up daily, weekly, and monthly with a schedule for off-site storage. Backup and recovery methods of electronic files are tested on a regular basis.
2. Electronic documents are retained as if they were paper documents. Any electronic files that fall into one of the document types on the below schedules will be maintained for the appropriate amount of time. A Litigation Hold for individual consumers shall be activated as needed by the IT department for the purpose of pausing electronic purge schedules.
3. Case records of deceased or discharged individuals are maintained for six years after death/discharge and then destroyed; including documents indicated in the below chart as “retain” while the individual was receiving Cottonwood, Inc. service(s).
4. Documents are maintained in the case record according to the chart below.

DOCUMENT	PURGE SCHEDULE WHILE RECEIVING CW SERVICE(S)
ACTION STATEMENT – IN PROGRESS/COMPLETED	After 3 years
ADMISSION'S COMMITTEE ACTION REPORT	Retain
ADOPTION	Retain

AIR (Adverse Incident Report)	After 3 years
ANE – CONSUMER RIGHTS TRAINING	As Updated
APPLICANT INFORMATION (Admissions packet)	Retain
APPLICATION FOR SERVICES	Retain
APPOINTED DESIGNATED REPRESENTATIVE FORM-PCS	As Updated
AUTHORIZATION	After 7 years
BASIS AND COVER SHEET	After 3 years
BEHAVIOR SUPPORT PLANS	After 6 years
BEHAVIORAL CONSULTATION REPORTS	Retain
BEHAVIORAL FUNCTIONAL ANALYSIS	Retain
BIRTH CERTIFICATE (or copy)	Retain
CASE RECORD REVIEW FORMS	Retain
CDDO INFORMATION BOOKLET CERTIFICATION RECEIPT	Retain
CDDO QUALITY OVERSIGHT ASSESSMENTS	After 6 years
CDDO SERVICE PROVIDER CHOICE/REFERRAL	Retain
CDDO TRANSITION CHECKLIST	Retain
CHILD IN NEED OF CARE (CINC)	Retain
CONSERVATORSHIP	Retain
CONSUMER ORIENTATION CHECKLIST	Retain
CORRESPONDENCE	After 6 years
DEPT. OF LABOR JUSTIFICATION	Retain
DESIGNATED HEALTH CARE COORDINATOR MOU	Retain
DIRECT DEPOSIT FORM FOR COTTONWOOD, INC. PAYCHECK	Retain
DISCHARGE SUMMARY	Retain
EMERGENCY BACK-UP PLAN (PCS/FMS)	After 6 years
EMERGENCY MEDICAL RELEASE (EMT)	As Updated (at least annually)
Form 3160	Retain
Form 3161	After 3 years
GUARDIANSHIP	Retain
HEALTH ASSESSMENTS	Retain
HIPPA PRIVACY NOTICE RELEASE	Retain
HRC REVIEW AND APPROVAL OF MEDICATION CHANGE	After 6 years

HUMAN RIGHTS COMMITTEE (HRC) ANNUAL REVIEW	After 6 years
ID SHEET	As Updated (at least annually)
INCIDENT REPORT	After 3 years
INDIVIDUAL ELEGIBILITY EVALUATION (IEE)	After 3 years
INDIVIDUALIZED EDUCATION PLAN	As updated
KDADS NOTICE OF ACTION (accompanies 3160)	Retain
MEDIA RELEASE	3 years after expiration date
MEDICAID/KANCARE CARD (or copy)	As Updated
MEDICAL HISORTY (from Admissions Packet)	Retain
MEDICARE CARD (or copy)	As Updated
MEDICATION LIST	As Updated (at least annually)
MEMO OF UNDERSTANDING	Retain
MR-DOCUMENTS	Retain
NEEDS ASSESSMENT	After 7 years
PASRR DETERMINATION LETTER	Retain
PCS/FMS SELF-DIRECTED GUIDELINES	After 6 years
PERSON CENTERED SERVICE PLAN (Service Plan/POC)	After 6 years
PERSON CENTERED SUPPORT PLAN (Support Plan)	After 6 years
PHOTO	Retain
POST PCSP APPROVAL	After 6 years
POWER OF ATTOENEY	Retain
PRESCRIPTION CARD (or copy)	As Updated
PRN MEDICATION ADMINISTRATION REPORTS	After 3 years
PRN PROTOCOL	After 6 years
PSYCHIATRIC MED REVIEWS and PSYCH NOTES	After 3 years
PSYCHOLOGICAL EVALUATION W/SIGN: (MR-4 OR 5 ALSO ACCEPTABLE)	Retain
RELEASE OF INFORMATION (ROI)	3 years after expiration date
REPRESENTATIVE PAYEE	If changes, otherwise retain
REQUEST FOR DISCHARGE	Retain
RISK ASSESSMENTS	After 6 years
SCHOOL RECORDS	Retain
SEIZURE REPORTS	After 3 years

SERVICE EVALUATION REPORTS	Retain
SHOWER/BATHING ASSESSMENT	As Updated (at least annually)
SIX MONTH REVIEW	After 6 years
SOCIAL SECURITY CARD (or copy)	Retain
SPECIAL STAFFING/TEAM MEETING MINUTES	After 6 years
STATE ID CARD (or copy)	As Updated
TCM APPLICATION AND SERVICE AGREEMENT	Retain
THIRD PARTY LIABILITY (TPL; with other private insurance cards or copy)	As Updated
TRACKING FORM – COMPLETED	After 3 years
TRACKING FORM – TEMPLATE	Retain
TRIAL VISIT CHECKLIST	After 3 years
W-4, K-4	Retain
WELLNESS MONITORING	After 6 years
WIOA-VR letter documenting eligibility	Retain
WORK BUDGET	Retain
WORK SKILLS ASSESSMENT	After 3 years
WORKERS COMPENSATION – ACCIDENT REPORTS	After 5 years
FINANCIAL FILE	
BANK STATEMENTS	After 3 years
DCF/KDADS/KDHE/SRS CORRESPONDENCE	After 7 years
Living Wills/Advance Directive	Retain
MEDICAID/KANCARE/MEDICARE INFORMATION	After 3 years
MISCELLANEOUS BENEFIT/INCOME CORRESPONDENCE	Retain
OTHER LEGAL DOCUMENTS (Criminal History/Parole or Probation Terms/Burial Agreement/Trust Fund)	Expiration plus 6 years
PAYSTUBS: Community Employment	After 7 years
PAYSTUBS: Cottonwood	After 7 years
SOCIAL SECURITY CORRESPONDENCE	After 7 years
TAX INFORMATION	After 7 years