

Appendix A
UNIT FILE FORMAT AND RETENTION

FORMAT	RETENTION
Current Photo	May be discarded when photo is updated - at least every 3 years for adults and every year for children (ages 1 – 18)
Section I - Meet _____ (person's name)	
Person-centered plans; person-centered assessments; personal information and history; communication dictionaries, etc.	Retained for a minimum of six years
Section II - Programs Plans	
A. IPP 1. Annual 2. Semi-Annual x 2 3. Addendums	Retained while the person is in services and for a minimum of six years after the termination of services
B. Assessments Current year assessments; DSS 2MR; Speech Reports	Retained for a minimum of six years
C. Behavior Programs - Intervention Plans - Rights Restrictions - Med 21 Notification of Behavior Modifying Med Orders to Human & Legal Rights Committee	Retained while the person is in services and for a minimum of six years after the termination of services
D. Rights/Complaint Mechanism	Retained for a minimum of two years
Section III - Health	
A. Med 10 Assessment Record	Retained while the person is in services & for six years after the termination of services
B. Med 9 Prescription Medication History & Response Profile	
C. Med 5 Physician's Order Form for PRN Non-Prescription Meds and Med 24 - Criteria for Administration of PRN Non-Prescription Meds	Retained for a minimum of six years for adults and six years after age 19 for minors
D. Med 3 Suspected Adverse Medication Reaction Form	
E. Copies of Consultation Reports & Prescriptions	
F. Behavior Management Medication – Med 17 Behavior Modifying Medication Review & Med 18 Behavior Modifying Medication Information	
G. Med 20 Physical Examination Reports	

FORMAT	RETENTION
H. Med 15 Dental Reports	Retained for a minimum of six years for adults and six years after age 19 for minors
I. Med 16 Eye Exam Reports	
J. Psychological Reports	
K. Miscellaneous Medical/Health (if applicable) Occupational Health Hazard; Therapy Progress Report; Med Aide 6 – Additional Activity Form specific to the person; etc.	
L. Allergy and Immunization Records	Retained for a minimum of six years or longer if seizures are infrequent or as requested by a medical practitioner
M. Seizure Reports	
Section IV - Finances/Generic Info	
A. Releases Emergency Medical, Medical Care & Finance Handling; Confidential Information Release/ Request Form (if applicable); HIPAA Privacy Statement; Miscellaneous Release(s)	Retained while the person is in services and for a minimum of six years after the termination of services
B. Income and Expense Sheets	Retained for a minimum of 7 years
C. Employment I-9 Employment Eligibility Verification form & supporting documents (other than Birth Certificate or Social Security Card); W-2's; work histories; applications; work evaluations; etc.	Retained for a minimum of 7 years
D. Miscellaneous Finance, if applicable SSI; SSA; Health & Human Services; Burial Trusts; Client Financial Questionnaire; etc.	Retained for a minimum of 7 years (with the exception of the Burial Trust which will be kept until the person terminates services)
E. School Contracts (if applicable)	Retained for a minimum of 7 years
Section V - Social Information	
A. Intake Entry Medical History Form; Intake Summary & Updates; Orientation Checklist	Retained while the person is receiving services and for six years after the termination of services
B. Change of Status	
C. Miscellaneous Guardianship Papers; Advance Directive; Birth Certificate; Social Security Card; etc.	
Section VI - Correspondence	
Correspondence	Retained for at least one year