RECORDS RETENTION SCHEDULE
DEPARTMENT OF DEVELOPMENTAL SERVICES
Form RC-050 (Revised 08/2014)

AGENCY: Department of Developmental Services
AGENCY ADDRESS: 460 Capitol Avenue, Hartford, CT 06106

DIVISION, UNIT, OR FUNCTION: All agency programs

RELEVANT STATUTES & REGULATIONS AND ACRONYMS USED ON THIS SCHEDULE:
CGS Sec. 17a-210 through Sec. 17a-247f; Confidentiality of Records -- CGS Sec. 19a-17b, CGS Sec. 19a-25, Executive Orders 25 and 42

RMLO (type or print): Latoya Ledbetter
JOB TITLE OF RMLO (type or print): Fiscal Administrative Assistant
APPROVED (Signature of State Archivist): 10/28/2015
DATE SIGNED: 10/20/15

AGENCY: Department of Developmental Services
AGENCY ADDRESS: 460 Capitol Avenue, Hartford, CT 06106

This schedule is: ☑ ORIGINAL
☐ REVISED
Superseded schedule number(s): 11-12-1

Series # | Records Series Title | Description | Retention | Disposition | Notes
---|---|---|---|---|---
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 | Destroy after receipt of signed Form RC-108 |
02. | 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 | Destroy after receipt of signed Form RC-108 |
<table>
<thead>
<tr>
<th>Series #</th>
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</thead>
<tbody>
<tr>
<td>03.</td>
<td>Client Financial Records</td>
<td>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.</td>
<td>3 years, or until audited, whichever is later</td>
<td>Destroy after receipt of signed Form RC-108</td>
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<td>04.</td>
<td>Client Investigation (Abuse and Neglect) Files</td>
<td>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 MS; and related correspondence.</td>
<td>10 years from date of client’s death</td>
<td>Destroy after receipt of signed Form RC-108</td>
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<td>05.</td>
<td>Client Master Files</td>
<td>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.</td>
<td>10 years from date of client’s death</td>
<td>Destroy after receipt of signed Form RC-108</td>
<td>Refer to 51 Administrative Records for Meeting Records and Reports of Boards, Commissions, and Task Forces</td>
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<td>06.</td>
<td>Client Mortality Reviews</td>
<td>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.</td>
<td>10 years from date review completed</td>
<td>Destroy after receipt of signed Form RC-108</td>
<td>Refer to 51 Administrative Records for Meeting Records and Reports of Boards, Commissions, and Task Forces</td>
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<td>07.</td>
<td>Community Living Facilities Licensing and Certification Files</td>
<td>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).</td>
<td>3 years from end of license, or until audited, whichever is later</td>
<td>Destroy after receipt of signed Form RC-108</td>
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<td>08.</td>
<td>Community Residential Facility Revolving Loan Fund Files</td>
<td>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.</td>
<td>6 years from end of contract, or until audited, whichever is later</td>
<td>Destroy after receipt of signed Form RC-108</td>
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<td>09.</td>
<td>Day Program Files</td>
<td>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.</td>
<td>10 years from date of client's death</td>
<td>Destroy after receipt of signed Form RC-108</td>
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<td>10.</td>
<td>Day Program Provider Grant in Aid Files</td>
<td>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.</td>
<td>10 years from end of contract, or until audited, whichever is later</td>
<td>Destroy after receipt of signed Form RC-108</td>
<td>Archival Review Required for committee minutes and reports</td>
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<td>11.</td>
<td>Federal Waiver Reimbursements</td>
<td>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.</td>
<td>6 years from end of contract, or until audited, whichever is later</td>
<td>Destroy after receipt of signed Form RC-108</td>
<td>Refer to 51 Administrative Records for Meeting Records and Reports of Boards, Commissions, and Task Forces</td>
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<td>12.</td>
<td>Human Rights Committee (HRC) Files</td>
<td>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.</td>
<td>10 years from date of client’s death</td>
<td>Destroy after receipt of signed Form RC-108</td>
<td>Archival Review Required for committee minutes and reports</td>
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<td>13.</td>
<td>Individual and Family Support Grants - Approved</td>
<td>This series documents the application, issuance, management, and administration of individual and family support grants designed to support home care for clients. Includes approved 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).</td>
<td>6 years from end of contract, or until audited, whichever is later</td>
<td>Destroy after receipt of signed Form RC-108</td>
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<td>14.</td>
<td>Individual and Family Support Grants – Denied or Withdrawn</td>
<td>This series documents the application, issuance, management, and administration of individual and family support grants designed to support home care for clients. Includes 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).</td>
<td>1 year from date application for withdrawn/denied</td>
<td>Destroy after receipt of signed Form RC-108</td>
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<td>15.</td>
<td>Medicaid Billing Files</td>
<td>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.</td>
<td>3 years from date of submission of final expenditure report, or until audited, whichever is later [42 CFR §433.32]</td>
<td>Destroy after receipt of signed Form RC-108</td>
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<td>16.</td>
<td>Medicaid Rate Setting Files</td>
<td>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.</td>
<td>6 years from date rate approved by DSS</td>
<td>Destroy after receipt of signed Form RC-108</td>
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<td>17.</td>
<td>Medicaid Waiver Enrollment Files</td>
<td>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).</td>
<td>6 years from waiver determination date</td>
<td>Destroy after receipt of signed Form RC-108</td>
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<td>18.</td>
<td>Medicaid Audit Files</td>
<td>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.</td>
<td>6 years from date of audit</td>
<td>Destroy after receipt of signed Form RC-108</td>
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<td>19.</td>
<td>Planning and Resource Allocation Team (PRAT) Files</td>
<td>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.</td>
<td>10 years from date of review, or date of decision, whichever is later</td>
<td>Destroy after receipt of signed Form RC-108</td>
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<td>20.</td>
<td>Private Provider Residential and Day Program Contract Files</td>
<td>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.</td>
<td>10 years from end of contract, or until audited, whichever is later</td>
<td>Destroy after receipt of signed Form RC-108</td>
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<td>21.</td>
<td>Private Provider Vacated Facilities Files</td>
<td>This series documents private providers who were licensed but vacated a 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.</td>
<td>6 years from end of license, or until audited, whichever is later</td>
<td>Destroy after receipt of signed Form RC-108</td>
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<td>22.</td>
<td>Program Review Committee Files</td>
<td>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.</td>
<td>10 years from date of client’s death</td>
<td>Destroy after receipt of signed Form RC-108</td>
<td>Archival Review Required for committee minutes and reports Refer to 51 Administrative Records for Meeting Records and Reports of Boards, Commissions, and Task Forces</td>
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<td>23.</td>
<td>Residential Daily Log Books</td>
<td>This series documents information pertaining to general daily communications and occurrences between staff change of shifts in residential facilities. Including but not limited to: daily log books.</td>
<td>3 years from last entry date in log book</td>
<td>Destroy after receipt of signed Form RC-108</td>
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<td>24.</td>
<td>Respite Client Documents</td>
<td>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.</td>
<td>10 years from date of client’s death</td>
<td>Destroy after receipt of signed Form RC-108</td>
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<td>25.</td>
<td>Respite Provider Contracts</td>
<td>This series documents contracts with respite providers to provide services to DDS clients. Including but not limited to: respite agreements and respite evaluations.</td>
<td>6 years from end of contract, or until audited, whichever is later</td>
<td>Destroy after receipt of signed Form RC-108</td>
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</table>
1. **SCOPE:** This schedule lists records unique to Department of Developmental Services and is used in conjunction with the General Records Retention Schedules and other relevant Records Retention Schedules.

2. **AUTHORITY:** The Office of the Public Records Administrator issues this Records Retention Schedule under the authority granted by §11-8 and §11-8a of the *General Statutes of Connecticut* (CGS).

3. **RETENTION PERIODS:** Retention periods listed on this schedule are based on the records’ administrative, fiscal, legal, and historical values, as well as statutory or regulatory requirements. In most instances the established period sets the minimum retention requirement. However, some records have maximum retention periods set by Federal or State statutes or regulations. Please note that any statute or regulation listed in brackets in the “Retention” column indicates the legal citation for that retention requirement. If a records series states, “Permanent/Archival,” the agency should request approval to transfer the records to the State Archives or an approved archival repository once the records are inactive. If a records series states, “May contain historical value,” the agency should contact the State Archives for archival appraisal before requesting disposition of the records. Not all such records will be determined to be archival; conversely, some records without this statement might have archival value. See General Letter #2009-1 for guidelines on transferring records to the State Archives.

4. **FORMAT:** Retention periods listed on this schedule apply to the official record copy, whether in paper, electronic, or other format. If records are maintained only in an electronic system, the records custodian must be able to retrieve and interpret the content for the retention period.

5. **DISPOSITION AUTHORIZATION:** This schedule is used concurrently with the *Records Disposition Authorization* (Form RC-108), which is used to request permission to destroy or transfer records that have met their retention period. The agency Records Management Liaison Officer (RMLO), the State Archivist, and the Public Records Administrator must sign the authorization form prior to destruction or transfer of public records. The Office of the Public Records Administrator cannot grant continuing approval to destroy records on an ongoing basis. No records may be destroyed if there are pending or active Freedom of Information Act (FOIA) requests; litigations; investigations; audits; or other cases, claims, or actions. Note that if there is a destruction hold on records, the retention period does not change and once the hold is lifted, the records may be destroyed after receipt of the signed Form RC-108.

6. **DISPOSITION DUE TO REFORMATTING:** In certain circumstances, records custodians may request permission to dispose of original records that have been imaged or microfilmed provided the public agency is in compliance with the State Library’s *Digital Imaging Policy* or *Microfilming Policy*.

7. **AUDIT REQUIREMENTS:** Under the Single Audit Act (31 USC 7501) audit requirements apply to Federal, State, and Local programs. The retention requirement, “___ years, or until audited, whichever is later,” requires further explanation. In most instances “audit” refers to the general agency audit conducted by the State Auditors of Public Accounts or the general town or municipal audit conducted by an outside auditing agency, unless otherwise noted. The specific record itself may or may not have been examined as part of the audit process. The requirement of “until audited” is fulfilled when the official audit report is issued. The auditors may recommend that certain records be corrected. Such records, even when they meet retention requirements, must be retained during the period that any review is pending.

8. **FOIA DISCLOSURE:** This retention schedule governs the retention of public records—not the disclosure of public records. Refer to CGS §1-200 et seq. or contact the Office of Governmental Accountability, Freedom of Information Commission (FOIC), regarding the disclosure of public records.

9. **ESSENTIAL RECORDS:** Records designated as “Essential” are those records necessary to respond to an emergency; to reestablish normal operations after any such emergency; to protect the rights and interests of the agency; and to protect the rights and interests of individuals for whom it has responsibility.

10. **OBSCURE RECORDS:** Records designated as “OBSCURE” or “SERIES CLOSED” are no longer created or received in the normal course of business. Records custodians should request approval for the appropriate disposition of any records so designated as soon as the retention period has passed.

11. **RECORDS CREATION REQUIREMENT:** Nothing on this schedule mandates the creation of a record or records series if the agency does not already create or receive it in the normal course of business. However, agencies should be aware of any additional recordkeeping requirements established by state or federal statute or regulation.