1.33	Person's Record at Region Office	Page 1 of 5
Authorizing Utah Code: Title 63, Chapter 2	**Rule: R495-810**	
Issue Date: 2/00	**Revision Date: 10/04**	
Form(s): GRAMA/Request for Records	**Guideline(s): Department Manual on Preparation and Maintenance of Records**	

Regions shall follow the established procedures for the organization and maintenance of records and files for **Person**s receiving **Division** funds.

PROCEDURES

1. The **Region** shall follow the **Division**'s agreed upon format for a **Person's** record and the **Department**'s Manual on Preparation and Maintenance of Records. The **Region** shall adhere to **Utah Code Annotated** Title 63, Chapter 2, Government Records Access and Management Act in all actions concerning a **Person**'s record.

2. Record information will be treated as private and secured by lock to protect the primary interest of the **Person** per **Utah Code Annotated** 63-2-101 through 63-2-308.

3. Workers may keep separate working files in addition to the official record so long as no violations of the Government Records Access and Management Act occur **(Utah Code Annotated** Title 63, Chapter 2).

4. Contents and arrangement of agency records are standardized in accordance with the **Division**'s record format. **Region** staff will ensure that the GRAMA/Request for Records **Form,** with documentation about information released, will be completed prior to the release of records that are classified as private or confidential by **Utah Code Annotated** Title 63, Chapters 2 and 3 (Access to Records and Classification respectively).

5. Records must be kept on denials of service, including the application and documentation, until 90 days after the denial. All **Medicaid** records must be kept at least five years.

6. Records will be transferred from one **Region Office** to another when a **Person** moves.

7. Records must contain all relevant information needed for the documentation of services and for court activity.

8. Records will be retained and destroyed in a manner that complies with **Utah Code Annotated** 63-2-905 (burned or shredded).

9. Sharing personal information among the **Division**, **Provider Agencies** and other State agencies does not require a signed release from the **Person/Representative**.

10. The **Person/Representative** has the right to access all personal records classified as public or private records per **Utah Code Annotated** 63-2-201 (right to inspect records).

DOCUMENT RETENTION PLAN

TAB SECTION / DOCUMENTS	GRAMA CLASSIFICATION	RETENTION SCHEDULE

INTAKE INFORMATION

TAB SECTION / DOCUMENTS	GRAMA CLASSIFICATION	RETENTION SCHEDULE
1. Face Sheet	Private	● Send document in discharge packet(s) # Keep five years from date created
2. Pre-Admission Conference Form	Private	■ Keep for five years after discharge
3. Consumer Intake/Transfer/Discharge Form & Intake Questionnaire	Private	■ Keep for five years after discharge
4. Grievance, Individual Rights, Informed Consent, Rent Agreement	Private	# Keep five years from date created
5. Personal Property Inventory	Private	● Send document in discharge packet(s) # Keep five years from date created
6. Funeral and/or Burial Plan	Private	● Send document in discharge packet(s) ■ Keep for five years after discharge

LEGAL/COURT/AUTHORIZATION/CONSENT

TAB SECTION / DOCUMENTS	GRAMA CLASSIFICATION	RETENTION SCHEDULE
1. Birth Certificate, Social Security Card, Medicare Card, State identification number, etc.	Private	● Send document in discharge packet(s) ■ Keep for five years after discharge
2. Guardianship Documents	Private	● Send document in discharge packet(s) ■ Keep for five years after discharge
3. Legal Reviews	Controlled	● Send document in discharge packet(s) ■ Keep for five years after discharge
4. Release of Information	Private	# Keep five years from date created
5. Authorization Forms	Private	# Keep five years from date created
6. Human Rights reviews/updates	Controlled	# Keep five years from date created

DOCUMENTATION OF SERVICES

TAB SECTION / DOCUMENTS	GRAMA CLASSIFICATION	RETENTION SCHEDULE
1. Purchase of Service (Form 1056)	Private	# Keep five years from date created
2. Eligibility of Services (Form 19)	Private	■ Keep for five years after discharge

3. DRS Funding Authorization (Form 58)	Private	# Keep five years from date created

STATE ASSESSMENTS

1. Psychological Evaluation, Social History /Updates	Controlled	● Send document in discharge packet(s) ■ Keep for five years after discharge
2. All Other Discipline Evaluations/Updates	Controlled	● Send document in discharge packet(s) ■ Keep for five years after discharge

SUPPORT STRATEGIES

1. Signature Sheet	Private	# Keep five years from date created
2. Outcomes (formerly objectives)	Private	● Send document in discharge packet(s) # Keep five years from date created
3. Assessments used to derive plans	Private	● Send document in discharge packet(s) # Keep five years from date created
4. Support Strategies Goal Determination	Private	● Send document in discharge packet(s) # Keep five years from date created
5. Support Strategies Summary and Summary of Previous Outcomes	Private	● Send document in discharge packet(s) ■ Keep for five years after discharge
6. Behavior Support Plan	Private	● Send document in discharge packet(s) # Keep five years from date created
7. Summary of Behaviors	Controlled	● Send document in discharge packet(s) # Keep five years from date created

PERSON-CENTERED PLAN

1. Person-Centered Plan (to reflect all services received)	Private	# Keep five years from date created
2. Assessments used to derive plans	Private	# Keep five years from date created

FINANCIAL INFORMATION

1. Monthly Residential Fee Reports	Private	# Keep five years from date created
2. Quarterly Financial Reviews	Private	# Keep five years from date created

MEDICAL INFORMATION

1. Monthly Medication Forms Disposal of Medications	Private	\# Keep five years from date created
2. Medical Orders/Medical Progress Notes	Private	● Send document in discharge packet(s) ■ Keep for five years after discharge
3. Medications Prescribed	Private	● Send document in discharge packet(s) ■ Keep for five years after discharge
4. Report of Medical Examinations (Including Eye and Hearing Exams) and Lab Results	Private	● Send document in discharge packet(s) ■ Keep for five years after discharge
5. Genetic Tests, Lab Results (e.g., MRI, CAT, EEG, EKG, MEG, PET, etc.).	Private	● Send document in discharge packet(s) ■ Keep for five years after discharge
6. Medical Summary, including allergies surgeries, medical logs and consultations	Private	● Send document in discharge packet(s) ■ Keep for five years after discharge
7. Dental Evaluation and/or Visit	Private	● Send document in discharge packet(s) ■ Keep for five years after discharge
8. Review of Psychotropic Medications and AIMS Records	Private	● Send document in discharge packet(s) ■ Keep for five years after discharge
9. Seizure (Spell) Record and History	Private	● Send document in discharge packet(s) ■ Keep for five years after discharge
10. Assessments (e.g., Speech, OT and PT)	Private	● Send document in discharge packet(s) ■ Keep for five years after discharge
11. Immunization Records (including Hepatitis, HIV and History of STDs.	Private	● Send document in discharge packet(s) ■ Keep for five years after discharge
12. Flow Chart Records as Requested by Practitioner (e.g., height, weight, TPR)	Private	● Send document in discharge packet(s) ■ Keep for five years after discharge

13. Family Medical History	Private	● Send document in discharge packet(s) ■ Keep for five years after discharge

PROGRESS NOTES AND INCIDENT REPORTS

1. Progress Notes	Private	# Keep five years from date created
2. Graphs, Raw Data	Private	# Keep five years from date created
3. Behavioral Data	Private	# Keep five years from date created
4. Incident Reports	Controlled	# Keep five years from date created

SUPPORTED EMPLOYMENT SECTION

1. Assessments	Controlled	# Keep five years from date created
2. Resume	Private	# Keep five years from date created
3. Current Work Placement	Private	● Send document in discharge packet(s) # Keep five years from date created
4. Current Work Evaluations	Private	● Send document in discharge packet(s) # Keep five years from date created or five years
5. Employment Summaries	Private	● Send document in discharge packet(s) ■ Keep for five years after discharge
6. Job-related income	Private	# Keep five years from date created

AGENCY CORRESPONDENCE

1. Correspondence	Private	# Keep five years from date created
2. Unearned Income Information	Private	● Send document in discharge packet(s) # Keep five years from date created

OTHER AGENCY DOCUMENTATION

1. Individual Education Plan (IEP)	Private	# Keep five years from date created
2. Individual Written Rehabilitation Plan IWRP Division of Rehabilitation Services (DRS)	Private	# Keep five years from date created
3. All other documents obtained from Other Agencies	Private	# Keep five years from date created

Legend Key: ● Send document in discharge packet(s)   ■ Keep for five years after discharge # Keep five years from date document created