RECORDS RETENTION AND DISPOSITION SCHEDULE

Family And Social Services Administration. Disability And Rehabilitative Services, Division of. Burea

Agency: Family And Social Services Administration Division: Disability And Rehabilitative Services, Division of

ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION *(This Retention Schedule is approved on a space-available basis)*	RETENTION PERIOD
1	2004-29	**MORTALITY REVIEW CASE FILES** Information regarding deceased persons who had been receiving services through the Bureau of Developmental Disabilities Services, compiled and reviewed to determine if the services received were acceptable and to improve services for future individuals. Each file contains medical information (last physical exam, hospitalizations, diagnostic and lab tests, visits to a doctor, and/or an autopsy or coroner report, if available) and documentation regarding services provided by other agencies, as well as progress, daily chronological and day service notes. Since 2014, these files have been maintained electronically. Disclosure of these records may be subject to IC 5-14-3-4, IC 16-39-2 and -7.1, and 42 USC 1320d-2. Retention based on IC 16-39-7-1(b).	One (1) year after the end of the calendar year in which the case file was reviewed, TRANSFER one (1) electronic copy of all records to the INDIANA ARCHIVES in a format approved by Indiana Archives staff for EVALUATION, SAMPLING and WEEDING pursuant to archival principles.DELETE agency copy of electronic records seven (7) years after the end of the calendar year in which the case file was reviewed, after verification that INDIANA ARCHIVES copy has been transferred.MAINTAIN legacy hard-copies in the RECORDS CENTER until seven (7) years after the end of the calendar year in which the case file was reviewed, then TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles.
2	2011-23	**CLOSED COMPLAINT FILES** Received and investigated by BQIS with regard to the supported living waiver program for individuals on the Community Integration and Habilitation and Family Supports waivers. These electronic records include investigation notes, interviews, photos, provider-related documentation, copies of corrective action plans, and documentation of their validation. Retention based on IC 16-39-7-1. Disclosure of these records may be affected by 45 CFR Part 160 and Part 164 (HIPAA).	DELETE seven (7) years after closure of a provision of services.
3	2005-29	**INCIDENT REPORTS** Reportable incidents to BDDS are "any event or occurrence characterized by risk or uncertainty, resulting in or having the potential to result in significant harm or injury to an individual or death of an individual." The Bureau of Quality Improvement Services oversees this process; since 2005, these reports have been maintained electronically. Disclosure of these records may be subject to IC 16-39-2-3. Retention consistent with IC 16-39-7-1(b).	DELETE after seven (7) years.
4	2011-24	**CLIENT RESIDENTIAL/POST-TRANSITION SURVEY** Conducted by DDRS case management vendors and BDDS Service Coordinators to assure the health and welfare of individuals transitioning from one residential service provider to another, including transitions from state operated facilities to supported living sites, and repeated every 30 days until all issues are addressed and closed. Includes copies of completed Client Residential Post Transition Survey tools, provider?s corrective action plans, and surveyor notes validating providers? actions; maintained electronically. Retention based on IC 16-39-7-1. Disclosure of these records may be affected by 45 CFR Part 160 and Part 164 (HIPAA).	DELETE seven (7) years after closure of provision of services.