

ATTACHMENT B - Records Retention, Review Period, Disposition, and Transfer Requirements

Service	ICF/IID	CRCF	Residential Habilitation	Employment and Day Services	Family Support Services
Records Retention - General	Six (6) years after Death or Discharge ; or six years after the end of the provider's contract period.	Six (6) years after Death or Discharge ; or six years after the end of the provider's contract period.	Six (6) years after Death or Discharge; or six years after the end of the provider's contract period.	Six (6) years after Death or Discharge ; or six years after the end of the provider's contract period.	Six (6) years after Death or Discharge ; or six years after the end of the provider's contract period.
Records Retention – If Litigation	If any litigation, claim , or other action involving the records has been initiated prior to the expiration of the six (6) year period the provider will retain the records until the completion of the action and resolution of all issues which arise from it, or until the end of the six (6) year period (whichever is later).	If any litigation, claim , or other action involving the records has been initiated prior to the expiration of the six (6) year period the provider will retain the records until the completion of the action and resolution of all issues which arise from it, or until the end of the six (6) year period (whichever is later).	If any litigation, claim , or other action involving the records has been initiated prior to the expiration of the six (6) year period the provider will retain the records until the completion of the action and resolution of all issues which arise from it, or until the end of the six (6) year period (whichever is later).	If any litigation, claim , or other action involving the records has been initiated prior to the expiration of the six (6) year period the provider will retain the records until the completion of the action and resolution of all issues which arise from it, or until the end of the six (6) year period (whichever is later).	If any litigation, claim , or other action involving the records has been initiated prior to the expiration of the six (6) year period the provider will retain the records until the completion of the action and resolution of all issues which arise from it, or until the end of the six (6) year period (whichever is later).
Review Period	Active and Inactive Records Annually	Active and Inactive Records Annually	Active and Inactive Records Annually	Active and Inactive Records Annually	Active and Inactive Records Annually
Records Management at Transfer and Discharge	The SC Department of Health and Environmental Control (DHEC) Licensing Regulations R61-13 and R61-84 regarding retention and transfer of records must be followed for ICF/IID and CRCF settings.	The SC Department of Health and Environmental Control (DHEC) Licensing Regulations R61-13 and R61-84 regarding retention and transfer of records must be followed for ICF/IID and CRCF settings.	<p>When an individual moves from one DDSN/Provider network residential habilitation setting to another DDSN/Provider Network Setting - The original file shall be maintained by the original (Sending) - Residential Habilitation Provider. The sending Residential Habilitation provider should send with the individual copies of the following records and documents:</p> <p>The residential assessment (s) and service plan, most recent social history/family information including contacts, most recent medical records, and current personal property inventory.</p> <p>Personal documents maintained on behalf of the individual including, but not limited to, life/burial insurance policy and premium information, personal identification cards, health insurance cards</p>	When an individual moves from one DDSN/Provider network Employment/Day setting to another DDSN/Provider network setting, the original file shall be maintained by the original (sending) Employment/Day provider. The sending Employment/Day provider should send with the individual copies of the Employment/Day assessment(s) and service plan.	<p>For Case Management Services, the process outlined in the DDSN Case Management Standards and/or DDSN Waiver Case Management Standards must be followed.</p> <p>For Early Intervention Services, the process outlined in the DDSN Early Intervention Manual must be followed.</p> <p>For State Funded Family Support and Respite, the original records must be maintained by the provider who administered the service and are not transferred to the receiving provider.</p>