

P-2375 Case Management (continued)

P-2375E File Retention (23-36)

How long to keep documents

All versions of a document should be kept in the file for the period of time referred to below [for example: An FDP was signed 6/5/19 and was replaced by a new FDP on 4/12/20. The case closed 10/31/20. The FDP signed 6/5/19 needs to be kept for 3 years after it was replaced on 4/12/20 (4/12/23) and the FDP signed 4/12/20 needs to be kept for 3 years after the case closes so 10/31/23.].

First Brad

Document Type	How Long to Retain and When to Purge
Family Development Plan (614)	Retain for 3 years after the FDP has been replaced by a new FDP (retain final FDP for 3 years after case closes)
RU/RF Enrollment Quest. (604)	Retain for 3 years after the last day of the calendar year eligibility for RU/RF has been determined
Stepping Stones Tool	Retain for 3 years after each update (retain final SS Tool for 3 years after cases closes)
Goal Sheets	Retain for 3 years after the Goal Sheet has been replaced by a new Goal Sheet (retain final Goal Sheet for 3 years after case closes)
UNCOPE (604 SUPP)	Retain for 3 years after the decision to refer/not refer has been made

Second Brad

Document Type	How Long to Retain and When to Purge
Case Notes	Must be kept until individual is deceased. If the participant had been a recipient of E&T services within the last year of their life, keep the case notes for an additional three years after the individual has deceased.

Third Brad

Document Type	How Long to Retain and When to Purge
Correspondence	Retain for 3 years from the last day of the calendar year the correspondence was created
Conciliation Notices (617, 617CR)	Retain for 3 years after the conciliation has been resolved, either successfully or unsuccessfully
Sanction Notice Authorization and Reasons for Sanction Letter (606)	Retain for 3 years after the sanction has been cured (pre OnBase or not)
Reach Up Time Limits Letter (609)	Retain for 3 years from the last day of the calendar year in which the appointment was scheduled
60 Countable months- closure	Retain for 3 years after benefits have closed specific to this form
Notice of Assessment Appointment (617N)	Retain for 3 years from the last day of the calendar year in which the appointment was scheduled
Good Cause letters	Retain for 3 years from the last day of the calendar year in which the good cause was due

Fourth Brad

Document Type	How Long to Retain and When to Purge
Information Release/Confidentiality Agreement (201WC)	Retain for 3 years after the release has expired (see expiration date on release) or been revoked
Child Development Division Information System(CDDIS)subsidy application	The CDDIS Subsidy Application should be documented in case notes.
Reach Up Vehicle Authorization form (602RTP)	Retain for 3 years after vehicle has been authorized/denied
Transportation Authorization	Retain for 3 years after transportation has been authorized/denied
Transportation Survey	Retain for 3 years after each update (if no more surveys are completed, retain the original/final survey for 3 years after case closes)
Medical (210TMD, 210NMR)	Retain for 3 years
Young Child Deferment (622)	Retain for 3 years after deferment ends

Referrals (i.e.- to VocRehab, CWS)	Retain for 3 years after the last day of the calendar year the referral was made
Treatment Logs	Retain for 3 years after the last day of the calendar year treatment was completed
Childcare search Logs	Retain for 3 years after the last day of the calendar year the log has been handed in
Family Services documents (Family Safety Planning meeting notes, etc)	Retain for three years after related FSD case closes
Domestic Violence (DV) modification/deferment paperwork and supporting documents	Retain for 3 years after deferment ends

Fifth Brad

secondary documentation as not required to complete

Document Type	How Long to Retain and When to Purge
Assessments (employment related, education related, etc.)	Retain for 3 years after the results of the assessment have been acted on (e.g., referral made, FDP updated)
*CSP/WKEX paperwork (625WA)	Retain for 3 years after participant has completed/left activity
PSE Application (202PSE)	Retain for 3 years after the last day of the calendar year the application was submitted
Resume	Retain for 3 years after resume is updated or case closes
Activity Schedules (education related, job club, etc)	Retain for 3 years after participant has completed/left activity
*Excused Absence logs	Retain for 3 years after the last day of the calendar year logs have been handed in
*Job Search logs	Retain for 3 years after the last day of the calendar year logs have been handed in
*Participant Attendance Reports (625AR) & Student Education Reports	Retain for 3 years after the last day of the calendar year reports have been handed in
*CSP/WKEX Participant Evaluation (625PE)	Retain for 3 years after participant has completed/left activity

Employment Info. (218E, 218ET, Profit & Loss statements, etc.)	Retain for 3 years after information has been acted on
Reach Ahead Enrollment (600)	Retain for 3 years after the last day of the calendar year enrollment/denial was completed
Housing Search Logs	Retain for 3 years after logs have been handed in
Housing Applications	Retain for 3 years after the last day of the calendar year decision on application has been made

Sixth Brad

Document Type	How Long to Retain and When to Purge
Check Authorizations	The check authorizations should be documented in case notes. We do not need to retain the check authorization print out.
Payment Authorization for RU services (630A)	Retain for 3 years after payment has been made
Bills/Receipts	Retain for 3 years after action has been taken on bill/receipt
Matrix Exception approval	Retain for 3 years after approval

Death of Participant

Case notes must be shredded/deleted promptly upon death of participant.

The exception for shredding/deleting case notes is for those participants engaged in E&T services for any point in the last year of their life. Case notes for these individuals should be maintained for three years after their death.

Documentation other than case notes such as applications, reports, logs, correspondence, and notices should be retained for 3 years after the last day of the calendar year they were created, regardless of when participant died.

This means, if a current participant dies—retain authorizations, agreements, and FDPs for three years after death, then shred or delete. Shred or delete the case notes upon learning of the participant’s death, unless they were engaged in E&T services for any point in the last year of their life.

Other Documents

Old V&D checklists are no longer used, and any that exist in files should be more than 3 years old, so they can all be purged at this point.

Child Support Waiver paperwork

Though maintained in a separate classified file, documents should be retained for 3 years after the last day of the calendar year in which the waiver decision expires, or in the case of a lifetime waiver 3 years after the last day of the calendar year in which the case closes.