

PCAP Site Paper Storage and Retention Protocol

Retention protocol for #3-6 may be superseded by PCAP host agency.

PCAP Files	Where Stored	How Stored	Retention Period and Method of Removal
1. CRSQ Forms	Supervisor office	Locked, secure, filed by year, and categorized as eligible-enrolled, ineligible, refused, or other.	Store onsite until PCAP program ends, then shred.
2. Supervision Notes Time Summary Reports* Client File Reviews	Supervisor office	Locked, secure, and filed by case manager ID.	Store onsite for 1 year after client exit, then shred. Email client file reviews to Stacy Dimmich at UW PCAP, per the client file review schedule.
3. Weekly Time Summary forms	Supervisor office	Locked, secure, and filed by case manager ID.	Store onsite for 3 years after staff employment ends; then shred.
4. Client Case Files -All components, including Client Service Agreement Clinical Intake	PCAP common area	Locked, secure, filed by CM ID/name, then by client ID/name.	Store onsite 6 years past client exit (including Lost Post Exit), then shred. <i>If client un-enrolled, store onsite until exit date, then shred.</i>
5. Evaluation Data Files -All paper evaluation forms (originals) whether data- entered or not.	Supervisor office or Office Asst. office	Locked, secure, filed by client ID. No names!	Store onsite until client exits or declared Lost Post Exit, then FAX to UW PCAP. <u>See next page for instructions.</u> <i>Procedure is the same if client was un-enrolled.</i>
6. IRB Consent Paperwork - ASI intake/exit consent forms - Exit authorization ASI (intake & exit) face sheets	Supervisor office (supervisors still conducting ASIs)	Locked, secure, and filed by last name.	Store onsite until client exit; then send <u>un-stapled</u> to Stacy Dimmich at ADAI: 1107 NE 45 th St. #120, Seattle, WA 98105 <i>Procedure is the same if client was un-enrolled.</i>

* **Time Summary Reports as part of Supervision.** After Time Summary Form data is entered, case manager prints Time Summary Report from DatStat Reports section and brings to supervision. (Errors will be shown in red; most case managers will correct these before bringing the report to supervision). Supervisor reviews report, noting any discrepancies in the final column, and signs off on it. Reports should be organized by case manager ID and stored in a locked location.

Separation of Files. Client case files and evaluation data files should always be stored in separate, locking filing cabinets (not just separate file drawers). Supervisors keep CRSQs, IRB consent forms, ASI face sheets and Weekly Case Manager Time Summary forms as well as personnel files in a locked, secure filing cabinet - separate from data and client files.

Who has access to what files? Supervisors and office assistants have access (and keys) to all filing cabinets. Case managers have access (and keys) only to the Client Case File filing cabinets.

Confidential shredding. If shredding needs to occur in large quantities, have it done by a professional, confidential shredding service (fee associated).

INSTRUCTIONS FOR FAXING DATA:

1. Each fax should be comprised of one, individual contiguous client data file, in the order shown on the Evaluation Data File Cover Sheet:
 - Evaluation Data Cover Sheet (no need for a fax cover sheet)
 - Intake ASI Parts A & B, plus calendars if highlighters used and notes taken on them
 - Biological Children at Enrollment
 - DLC
 - Difference Game
 - Goals forms, Enrollment through 36 months
 - Exit ASI, plus calendars if notes taken on them
 - Advocate-Client Relationship Inventory
 - Transfer, Death, or Lost Post Exit if the paper form was filed
- 1a. As an alternative to faxing, sites may upload their data files to their PCAP Site Page in SharePoint
2. Send Stacy Dimmich an email with the client ID numbers of the data files you plan to fax that day.
3. Fax data files (one fax per client ID) to **(206) 520-3187** (HIPAA compliant fax #) (or upload to SharePoint)
4. Wait for my email confirming that your file is legible, and giving you "PERMISSION to SHRED".
5. After receiving the permission to shred, please shred the file in a timely manner. If you cannot shred it right away, store it securely in a locking file cabinet. For record keeping, you may want to create a log:

Date of RightFax	Client ID	Date "PERMISSION to SHRED" received	Date shredded

3.9.22