



Department of Health and Human Services
Maine Center for Disease Control and Prevention
286 Water Street
11 State House Station
Augusta, Maine 04333-0011
Tel.: (207) 287-8016; Fax: (207) 287-9058
TTY Users: Dial 711 (Maine Relay)

HIV, STD, Viral Hepatitis Program Policy Notice

Effective Date: July 1, 2014

SUBJECT: Thinning medical case management files funded by Ryan White Part B

- 1. Purpose of This Notice:** The purpose of the Ryan White Part B Policy on Thinning Files is to establish consistent criteria across Providers for thinning files when hard copy client records become too large to effectively manage.
- 2. Audience:** Ryan White Part B-funded medical case management providers
- 3. Background:** Medical case management providers are required to keep hard copy client files.
- 4. Policy:** No information from a client record should be destroyed, except in compliance with confidentiality laws and regulations. Records may be destroyed if it has been six years since the client's death or final discharge from service. When records are destroyed, Providers must maintain an inventory of records destroyed, including basic demographics of clients and dates of service initiation and termination.

If a client is still actively receiving services and the physical record does not fit in one file, the following documents must be placed in the current, working physical file:

1. The most recent Client Contact Information
2. The most recent Client Intake Form
3. The most recent Annual Assessment
4. The most recent Semiannual Certification and supporting documents, including income verification, insurance verification, and residency verification

5. All care plans for the most recent calendar year
6. All case notes for the most recent calendar year
7. All release forms that have not expired
8. Verification of HIV status

5. Implementation: The Ryan White Part B Program conducts site reviews, including record reviews, at least once per year. Records will be reviewed for compliance with this policy.

6. Related Policies: Contract Rider E, Section J: Clinical Records

7. For more information on policy: Jamie Cotnoir, Ryan White Part B Program Coordinator, jamie.cotnoir@maine.gov, 207-287-5539