

APPENDIX O

1 TABLE OF CONTENTS

1	TABLE OF CONTENTS.....	2
2	PURPOSE.....	3
3	OVERVIEW.....	3
4	BUREAU OF FACILITY LICENSURE AND CERTIFICATION (BFLC) RETENTION RULES.....	3
	A. DIVISION OF ACUTE AND AMBULATORY CARE (DAAC)	3
	B. DIVISION OF NURSING CARE FACILITIES (NCF).....	4
	C. DIVISION OF SAFETY INSPECTION (DSI)	4
5	BUREAU OF COMMUNITY PROGRAM LICENSURE AND CERTIFICATION (BCPLC) RETENTION RULES.....	5
	A. HOME HEALTH.....	5
	B. DIVISION OF INDEPENDENT CARE FACILITIES (ICF)	5
6	DEPARTMENT OF AGING (PDA)	6
7	DEPARTMENT OF DRUG AND ALCOHOL PROGRAMS (DDAP)	9

2 Purpose

The purpose of this document is to identify the retention rules for DDAP, DOH, and PDA participating in ELS.

3 Overview

Documents shall be stored in the system according to the agency retention requirement. Documents marked “forever” shall be retained indefinitely in the database. Unless designated “purge,” documents shall be archived in the appropriate database after the initial retention period.

No records may be destroyed that are subject to a legal hold, involved or reasonably likely involved in litigation or related to known investigations, even if the retention period for those records has been met. Also, audit and other records may be required to be held for longer periods than otherwise reflected on the records retention and disposition schedules.

4 Bureau of Facility Licensure and Certification (BFLC) Retention Rules

A. Division of Acute and Ambulatory Care (DAAC)

Description	Agency Retention
Division of Acute and Ambulatory Care	
Correspondence	4 years, purge annually
Complaints - Pennsylvania Automated Complaint Tracking System (PACTS) attachments	4 years
Hospital Files - Required Centers for Medicare & Medicaid Systems (CMS) forms per the State operations manual; facility documentation; State licensure forms	4 years except the following: Initial application which should be kept indefinitely
Ambulatory Surgical Facility Files - Required CMS forms per the State operations manual; facility documentation; State licensure form	2 years except the following: Initial application which should be kept indefinitely
Portable X-Ray Provider Files - Required CMS forms per the State operations manual; facility documentation; State licensure form	2 years except the following: Initial application which should be kept indefinitely

B. Division of Nursing Care Facilities (NCF)

Description	Agency Retention
Division of Nursing Care Facilities	
Correspondence	4 years, purge annually
Complaints (PACTS, attachments)	4 years
Facility Files	4 years except the following: exception/waiver requests; Initial application; Service Level Agreement (SLA) requests; bed change requests; licensee and/or doing business as (DBA) name changes, both requests from the facility - which are paper and nursing care facility (NCF) response - which are in SAIS which should be kept indefinitely.
Nurse Aide Registry	4 years except annotated nurse aides' packets which are paper which should be kept indefinitely.

C. Division of Safety Inspection (DSI)

Description	Agency Retention
Division of Safety Inspection	
Correspondence	4 years, purge annually
Facility File (Required CMS forms per the State operations manual; facility documentation; State licensure/occupancy form)	6 years
Approved Health Care Building Plans	Indefinitely
Approved Health Care Building Plan Correspondence	Indefinitely - Initial occupancy survey
Complaints (PACTS, attachments)	4 years

5 Bureau of Community Program Licensure and Certification (BCPLC) Retention Rules

Documents are stored indefinitely in an existing database, per policy.

A. Home Health

Description	Agency Retention
Home Health	
Birth Centers	7 years
Comprehensive Outpatient Rehabilitation Facilities (CORFs)	13 years
Home Health Agencies	7 years
Home Care Agencies/Home Care Registries	7 years (no patient information)
Hospice Agencies	7 years
End State Renal Disease Centers (ESRD)	7 years
Outpatient Physical/Speech/Occupational Therapy Clinics	13 years
Rural Health Clinics	13 years
Pediatric Extended Care Centers	7 years
Complaints (PACTS, attachments)	4 years
Applications	Indefinitely
Change requests	Indefinitely
CHOWS	Indefinitely
Exception/waiver requests	Indefinitely

B. Division of Independent Care Facilities (ICF)

Description	Agency Retention
Division of Independent Care Facilities (ICF)	
ICF	3 years
Psychiatric Residential Treatment Facility (PRTF)	11 years
Community Mental Health Centers (CMHC)	11 years
Complaints (PACTS, attachments)	3 years

6 Department of Aging (PDA)

Statue states that all applications and licenses need to be maintained. It does not state how, where, or how long. PDA currently maintains the paper records for five (5) years before destroying. SAIS currently maintains all electronic records for open and closed centers indefinitely. Per the business requirements, retention rules can be altered in necessary circumstances deemed by the program. The last seven (7) years of data must be converted to be available in ELS upon Go-Live.

The Comments field indicates the document is referred by another name.

Document	Record Retention Duration	Comments
Department of Aging		
Completed Applications/Renewals	Initial applications – Indefinitely License renewals – Indefinitely, if closure, 5 years.	Language in Act 118 requires applications and licenses to be maintained and does not specify a time period or format. PDA currently maintains paper applications and licenses for the duration of center being open until 5 years after closing.
Certificates of Compliance/w cover letters	Indefinitely, if closure, 5 years	Plan of corrections are maintained in a paper file along with the license renewal applications for the duration of center being open until 5 years after closing.
Recommendations for License	Licenses kept indefinitely. If closure, 5 years.	Licenses are maintained in a paper file along with the license renewal applications for the duration of center being open until 5 years after closing.
Corporation Papers	Indefinitely. If closure, 5 years.	Articles of Incorporation are maintained in paper file along with the initial applications, and for changes in legal entity after the initial application for the duration of center being open until 5 years after closing.
Labor and Industry (L & I) or Department of Health (DOH) Approvals (Occupancy Permit)	Indefinitely. If closure, 5 years.	Occupancy permit is maintained in paper file along with the initial application for the duration of center being open until 5 years after closing. It is also maintained if changed as a part of a relocation or a building modification.
Waivers	Indefinitely. If closure, 5 years.	Waiver of Regulations Waiver Request, Action Papers, and approvals are maintained in paper form until 5 years after closure. They are also captured electronically for the same time period.
Enforcement Actions	Indefinitely	Indefinitely

Verified Complaints	Indefinitely	Currently maintained in SAIS indefinitely. Also maintained in the Division "P" drive indefinitely.
Subpoenas or court orders	Indefinitely	Indefinitely
Electronic documents and files	Indefinitely. If closure, 5 years.	Currently maintained in SAIS indefinitely.
Deficiencies and Plans of Corrections	Indefinitely. If closure, 5 years.	Currently maintained in SAIS indefinitely. Also maintained in paper file.
Inspection Notes and Correspondence	Currently maintained in SAIS indefinitely, and in paper file. If closure 5 years.	Facility notes, inspection notes, documentation of correspondence are maintained in SAIS (Facility Master). Some correspondence maintained in paper file.
Interim License	Indefinitely. If closure, 5 years.	
Files Notes and Correspondence	Currently maintained in SAIS indefinitely, and in paper file. If closure, 5 years.	Facility notes, inspection notes, documentation of correspondence are maintained in SAIS (Facility Master). Some correspondence maintained in paper file.
Payment Log	Indefinitely. If closure, 5 years.	Maintained for all active centers for the duration they are open.
Reportable Incidents -	Currently maintained in SAIS indefinitely. If verified, results should be maintained indefinitely.	The investigation notes and findings are also maintained in the Division "P" drive.
Civil Rights Compliance	Indefinitely. If closure, 5 years.	Plan of corrections are maintained in a paper file along with the license renewal applications for the duration of center being open until 5 years after closing.
Child Abuse and Criminal History Clearances	Indefinitely. If closure, 5 years.	Criminal History Background checks are only maintained in the initial application. They are maintained indefinitely for the duration of center being open until 5 years after closing.
Proof of Fire Safety Approval & Certificate of Occupancy	Indefinitely. If closure, 5 years.	Proof of Fire Safety Approval & Certificate of Occupancy are only maintained in the initial application. They are maintained indefinitely for the duration of center being open until 5 years after closing.

Staff Health Assessments	Indefinitely. If closure, 5 years.	Staff Health Assessments are only maintained in the initial application. They are maintained indefinitely for the duration of center being open until 5 years after closing.
Violation/Penalty	Indefinitely. If closure, 5 years.	
Condition for Denial/Nonrenewal/Revocation	Indefinitely. If closure, 5 years.	Findings are also maintained in the Division "P" drive.

7 Department of Drug and Alcohol Programs (DDAP)

Active Facilities

- Records are purged on a continuous basis – when new licensing packets are filed – the file is checked for any licensing packet that is older than 5 years (but not the original/oldest licensing packet). Records are purged from the active files and sent to the State Records Center (SRC) every 3-5 years.
- Licensing records should be retained for 13 years.
- Records are to be disposed of according to the disposition code identified on the records retention and disposition schedule. Twice a year, the State Records Center contacts the Agency Records Coordinator (ARC) with a list of the boxes in their custody that have reached or will reach the normal due dates for destruction within the following six month period. The ARC will in turn notify the Records Management Coordinator of the pending action.

Closed Facilities

- DDAP sends closed records to the SRC.
- Closed records are purged from the SRC after 30 years.