

Records Retention and Disposition Schedule by Bureau

Agency: 021 Human Services
Bureau: 2110101000 Deputy Secretary For Income Maintenance

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001338	Deputy Secretary's Correspondence	1	No	2Y	4Y	1

General correspondence, requests for information, replies, status reports, administrative back up, Action Memorandums, etc. with individuals, internal offices, other agencies, legal entities, and the federal government.

Exception granted on March 27, 2008, from General Administrative Schedule, G001.001, Administrative Correspondence (Executive level).

Agency: 021 Human Services
Bureau: 2110101742 CAO Operations - Statewide

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000243 C	Public Assistance Case Records - After Closing PA 600, Application for benefits and back up documentation in the determination of a client's eligibility for public assistance programs (CA/MA/FS) and to support any actions during the eligibility period. * AGY - Records may be retained on-site in CAOs or transferred to SRC.	1	No	0Y	6Y	1
00000500	Cao Expedited Food Stamp System - Records	1	No	3Y	3Y	3
00000710	Early Periodic Screening, Diagnostic & Training Program	1	No	5Y	5Y	1
00000797	CAO - Disability Advocacy Program (AP)	1	No	7Y	7Y	3
00000968	Employment & Training Program (ETP)	1	No	3Y	3Y	3
00000969	CAO Statistical Reports & Surveys	1	No	4Y	4Y	2
00000971	CAO - Low Income Energy Assist Prog (Lieap)	1	No	3Y	3Y	3
00001047	CAO - Std. Review System (STARS)	1	No	2Y	2Y	3
00001049	CAO - Workload Equalization	1	No	3Y	3Y	3
00001054	CAO-Control Auth & Instruction Sheet PW-764	1	No	0Y	0Y	1
	* AGY - See STD-56 schedule for retention.					
00001057	CAO - County Board Of Assistance Records	1	No	5Y	5Y	2

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001064	CAO - Supplemental Security Income Cases	1	No	3Y	3Y	3
	* AGY - After closing.					
00001065	CAO - Dpt. Hlth. Insp. Of Nurs. Facilities	1	No	0Y	0Y	1
	* AGY - Retain recent inspetc. & Status information.					
00001068	CAO - Children & Youth - Foster Care	1	No	3Y	3Y	1
	* AGY - After maj. Then client file if open.					
00001102	CAO Inventory Records	1	No	2Y	2Y	1
	* AGY - Until superseded per STD-56 schedule.					
00001103	CAO Single Point Of Contact Program (SPOC)	1	No	3Y	3Y	3
	* AGY - Retain records for life of project.					
00001104	CAO Controlled Document Disposition Logs	1	No	0Y	0Y	3
	* AGY - Until audits are approved.					
00001124	CAO - Direct Delivery System	1	No	5Y	5Y	1
	* AGY - Or until audit whichever is longer.					
00001125	CAO - Rejected Common Application Forms	1	No	1Y	1Y	3
00001229	CAO - Blind Pension Files	1	No	3Y	3Y	3
	* AGY - After closing.					
00001230	CAO - Domiciliary Care Case Files	1	No	3Y	3Y	3
	* AGY - After closing.					
00001231	CAO - Personal Care Case Files	1	No	3Y	3Y	3
	* AGY - After closing.					

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001232	CAO - Boarding Homes Case Files	1	No	3Y	3Y	3
	* AGY - After closing.					
00001233	CAO - Subsidized Adoption Case Files	1	No	3Y	3Y	3
	* AGY - After closing.					
00001258	CAO - Overpayment Referral Fair 189	1	No	3Y	3Y	3
	* AGY - After resolution of overpayment.					
00001367	Transitionally Needy Clients	1	No	3Y	3Y	3
	* AGY - After closing.					
00001368	Nursing Home Case Records	1	No	3Y	3Y	3
	* AGY - After closing.					
00001395	Centralized Refugee Program Files	1	No	3Y	3Y	3
	* AGY - After closing.					

Agency: 021 Human Services
Bureau: 2110401000 Bureau of Program Support

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000722	Food Stamp Reconciliation Reports (FNS-46)	1	No	6M	4M	1
00001288	BAS - Aff. Act. Rpts. Plans & Correspondence	1	No	3Y	3Y	3
00001296	BAS - FEDERAL AUDITS	1	No	6Y	8Y	1
00001297	BAS - State Audits	1	No	6Y	8Y	1
00001300	BAS - Administrative Reviews	1	No	7Y	7Y	3
00001303	BAS - Working Files Of The Director	1	No	7Y	7Y	1
00001424	Advancement Account For Child Support Refunds The file contains cancelled support refund checks, bank statements, and vouchers with backup.	1	No	1Y	6Y	1
00001441	Computer User Authorization Files Contains documentation relating to confidential system and program authorization forms. Includes forms CCAPSIDv.31 10196 EBT/Citibank Access (for all counties OIM) (Request for Computer Access to Client Information System and Citybank EBT Programs) (originals and/or copies). PA 516 OIM Terminal Security System, Terminal Operator, Registration Form and User Agreement (for OIM all counties) (Request for Computer Access to Client Information System). PA 516 form also used for Business Partners / Headquarters / Other Agencies. (Request for Computer Access to DPW Program Files) (originals and/or copies). PW-1687 Internet and Remote User Authorizations for Remote Users to access DPW Programs, originals and copies. * AGY - Maintain in agency until seperation from employment.	1	No	0Y	0Y	3

Agency: 021 Human Services
Bureau: 2110406000 Division of Management And Budget

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
0000409	County Disbursement - Inactive Emergency Disbursmnt Auth,Pa 122E	1	No	0Y	7Y	1
0000410	County Disbursement - Active	1	No	7Y	7Y	3
	* AGY - Or after federal audit, whichever first.					
00001292	BAS - Fiscal Year Budget Material	1	No	5Y	5Y	1
00001293	BAS - Disaster Program Financial Records	1	No	1Y	8Y	1
00001294	BAS - CAO Budget Records	1	No	5Y	5Y	1
00001298	BAS - ATP Mult. Cancel. List. (Frm 120R01)	1	No	3Y	3Y	3
00001302	BAS - Inc. Mnt. Purchase Request Tracking	1	No	1Y	1Y	1
00001411	Administrative Appropriations for Income Maintenance	1	No	1Y	3Y	1

Agency: 021 Human Services
Bureau: 2110407000 Division of Automation Planning & Support

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000236	Food Coupon Book Rpt, FNS-250	1	No	1Y	4Y	1
00000237	Athrzin & Recpt - Food Coupon Bks, PW516SP	1	No	1Y	4Y	1
00000567	Comprehensive Employment Training Act Files	1	No	30M	4M	1
00000751	Food Coupon Account And Destruction Report	1	No	1Y	5Y	1
00001299	BAS - Forms Management	1	No	7Y	7Y	1
00001304	BAS - Atp Mismatch (CBR540-R01)	1	No	3Y	3Y	3
00001386	Aid Families Dependent Children(AFDC)Claims On General Assistance	1	No	1Y	3Y	1
00001396	Client Notices	B	No	3Y	3Y	3

Agency: 021 Human Services
Bureau: 2111501000 Bureau of Policy

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000203	Public Assist Memos, Spec Releases, Supp Rcd	1	No	0Y	0Y	2
	* AGY - Retain as long as required.					
00000532	Food Stamp Outreach Program Files	1	No	3Y	3Y	1
	* AGY - Or federal audit whichever occurs first.					
00001071	IM - Sp. Prog. Common App. System	1	No	0Y	0Y	1
	* AGY - Retain for life of system.					
00001072	IM - Sp. Prog. Data Proc. Service Requests	1	No	5Y	5Y	1
00001088	IM - Check Stuffer Program	1	No	2Y	7Y	1
00001089	IM - Ppd Operations Rev. Committee	1	No	6Y	6Y	1
	* AGY - Working files purged after 1 year.					
00001090	IM - Ppd Exec. Policy Committee	1	No	7Y	7Y	1
	* AGY - Working files purged after 1 year.					
00001093	IM - Sppm Dir. Del. Mthd. Clnt. Bn. Dis.	1	No	0Y	0Y	2
	* AGY - Until no longer needed to support program.					
00001094	IM - Sppm El. Funds Trans. Proj.	1	No	5Y	5Y	2
00001095	IM - Sppm Photo Id Program	1	No	0Y	0Y	1
	* AGY - Purged files retained permanently.					
00001099	IM - Sppm Client Data From Other Agencies	1	No	0Y	0Y	3
	* AGY - Retain until no longer required.					

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001105	IM - PPD Responses To Secretaries Requests	1	No	3Y	3Y	1
00001106	IM - PPD Reponses To Dep. Sect. Requests	1	No	3Y	3Y	1
00001107	IM - PPD Action Memorandums	1	No	3Y	3Y	1
00001108	IM - PPD General Correspondence	1	No	0Y	0Y	2
	* AGY - Retain as long as required.					
00001109	IM - PPD Project & Subject Matter Files	1	No	0Y	0Y	2
	* AGY - Retain for proj. Life or until not needed.					
00001110	IM - PPD Court Cases Invol. Inc. Mtnce. Pol.	1	No	0Y	0Y	3

* AGY - Until resolutions are completed per STD-56.

Agency: 021 Human Services
Bureau: 2111516000 Division of Welfare Reform Initiatives

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000202	Public Assist Manual & History File	1	No	0Y	0Y	2
	* AGY - Retain as long as required.					
00000205	Public Assist Curr Matl, Rcd Of Revsns, Obs	1	No	0Y	0Y	1
	* AGY - Retain as long as required.					
00000205	Public Assist Manual, Discntd Prog/Obs Matl A	1	No	0Y	5Y	1
00001091	IM - Sppm Food Stmp. Elec. Bene. Pilot Prj.	1	No	0Y	5Y	1
	* AGY - Until life of program.					
00001096	IM - Sppm Information On Clients System	1	No	5Y	10Y	1
00001097	IM - Sppm Edp Systems Under Development	1	No	5Y	5Y	1
00001098	IM - Sppm Inc. Elig. Verif. System	1	No	999Y	999Y	3

* AGY - Replace outdated info. With new materials.

Agency: 021 Human Services
Bureau: 2111517000 Division of Federal Programs And Program Management

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000238	Food Coupon Authztn,3SP & PA3ESP - Hardcopy	1	No	15M	15M	3
00000238	Food Coupon Authztn,3SP & PA3ESP - Microfilm A	A	No	5Y	5Y	3
00000238	Food Coupon Authztn,3SP,PA3ESP - Dupl Film B	1	No	5Y	5Y	3
00000297	Social Security, Buy-In Rpts & Rcds PA122SS	1	No	1M	37M	1
	* SRC - Total retention.					
00000382	Ledger, Application,Expenditures Breakdown	1	No	5Y	10Y	1
00000383	Census, Ushew Acc+Cu School Chldn By County	1	No	3Y	3Y	1
00000918	Food Stamps - State Plan	1	No	7Y	7Y	2
	* AGY - After term. Or replace. Of food stmp. Prog.					
00000919	Food Stamp Pub. Asst. Prog. - Gen. Corres.	1	No	3Y	3Y	3
00000920	Food Stamp - Rout. Corres. With Cao	1	No	3Y	3Y	3
00000921	Food Stamp Admin. Corres.	1	No	7Y	7Y	1
	* AGY - After term. Or replac. Of food stamp prog.					
00000922	Food Stamp Policy Interp. File	1	No	7Y	7Y	1
	* AGY - After term. Or replac. Of food stamp prog.					
00000923	Food Stamp Stat. Evaluations Correct. Action	1	No	5Y	5Y	1

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000925	Food Stamp Pub. Asst. Memo. & Spec. Releases	1	No	7Y	7Y	1
	* AGY - After term. Of replac. Of food stamp prog.					
00000926	Food Stamp Liais. Files W/Off. Of Info. Sys.	1	No	3Y	3Y	1
	* AGY - After term. Of replac. Of food stamp prog.					
00001100	IM - Sppm General Correspondence	1	No	0Y	0Y	1

* AGY - Retain until no longer needed.

Agency: 021
Bureau: 2111518000

Human Services
Division of Health Services

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000495	Instnl Care Authrztg, Pa 122M	1	No	1M	1M	1

Agency: 021 Human Services
Bureau: 2112001000 Bureau of Program Evaluation

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000566	General Correspondence	1	No	3Y	3Y	1
00001214	Prog. Serv. - Mgmt. Eval. Rev. Program	1	No	1Y	1Y	3
	* AGY - After completion of audit.					
00001215	Prog. Serv. - Tech. Rev. Unit Stats.	1	No	1Y	1Y	3
	* AGY - After completion of audit.					
00001216	Prog. Serv. - Agency Review Program	1	No	1Y	1Y	3
	* AGY - After completion of audit.					
00001217	Prog. Serv. - Client Valid. Rev. Program	1	No	1Y	1Y	3
	* AGY - After completion of audit.					
00001218	Prog. Serv. - Special Review Program	1	No	1Y	1Y	3
	* AGY - After completion of audit.					

Agency: 021 Human Services
Bureau: 2112021000 Division of Corrective Action

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001092	IM - Sppm Off. Fraud/Abuse/Inv/Recov. Invol.	1	No	5Y	5Y	3
00001187	General Correspondence	1	No	0Y	0Y	1
	* AGY - Retain for as long as necessary.					
00001194	PS - Validation Review Workbooks	1	No	18M	18M	3
00001195	PS - Agency Rev. & Spcl. Rev. Reports	1	No	2Y	2Y	3
	* AGY - Then to div. Of corrective action for disp.					
00001213	Prog. Serv. - General Correspondence	1	No	0Y	0Y	1
	* AGY - Retain for as long as necessary.					
00001274	IM - CA - Aid To Fmls.W/Dpnt. Chld. Prog.	1	No	10Y	10Y	2
00001275	IM - CA - Food Stamp Program	1	No	10Y	10Y	2
00001276	IM - CA - Medical Assistance Program	1	No	10Y	10Y	2
00001277	IM - CA - Bureau/Generic Program	1	No	10Y	10Y	2
00001278	IM - CA - General Correspondence	1	No	0Y	0Y	1

* AGY - Retain as long as necessary.

Agency: 021 Human Services
Bureau: 2112023000 Division of Quality Control

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001437	Quality Control Review Packets (TANF, FS, MA, GA)	1	No	0Y	42Y	1

The packets contain schedules (PA 730 cm, FNS 380, HCFA 301), worksheets, Bank verifications- PA 76's, Wage Verifications- PA 78's, Treasury and Social Security Administration Data Base information.

Quality Control Reviews are mandated by Federal and State Statutes for the Food Stamp Program, Cash Assistance (TANF & GA), and Medical Assistance. The reviews contain confidential information obtained from employers (PA 78s), banks (PA 76), insurance companies (PA 83-Z) , landlords, schools, and other collateral sources.

* AGY - Maintain in Agency until close of final report (PER Posting).

Agency: 021 Human Services
Bureau: 2112025000 Division of Statistical Analysis

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000412	Statistical Evaluations - Hardcopy	1	No	1Y	1Y	1
	* AGY - Until summarizations are made, then microflm.					
00000412 A	Statistical Evaluations - Orig Microfilm	A	No	999Y	999Y	1
	* AGY - Retain at commercial facility for 999 yrs.					
00000412 B	Statistical Evaluations - Dupl Microfilm	A	No	999Y	999Y	1
00000533	Qtrly Random Sample Rpts,PA17 - Hardcopy	1	No	1Y	1Y	1
00000533 A	Qtrly Random Sample Rpts,PA17-Orig Film	A	No	0Y	9Y	1
00000533 B	Qtrly Random Sample Rpts,PA17-Dup (Work Cpy)	A	No	9Y	9Y	1
00000533 C	Qtrly Random Sample Rpts,PA17-Dup (Auditors)	A	No	9Y	9Y	1
00001279	BDCA - Quality Control Data Analysis	1	No	5Y	5Y	3
00001279 A	BDCA - Qlty. Cntr. Data Anlys. (Orig Film)	A	No	9Y	18Y	1
00001279 B	BDCA - Qlty. Cntr. Data Anlys. (DUPL Film)	A	No	9Y	9Y	3
00001280	BDCA - Cost Est. For Inc. Mntnce. Programs	1	No	0Y	0Y	1
	* AGY - Until superseded.					
00001281	BDCA - Inc. Mtnc. Rpts. On Fed. Projects	1	No	10Y	10Y	1

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001282	BDCA - Mthly. Inc. Mtnce. Rpts. In-House Pj.	1	No	2Y	2Y	3
00001283	BDCA - D. P. Service Requests	1	No	2Y	2Y	1
00001284	BDCA - Gen. Corres. & Admin. Records	1	No	0Y	0Y	1
	* AGY - Retain for as long as necessary.					
00001285	BDCA - Qlty. Cnt. Rdm. Smples. Inc. Mnt.	1	No	5Y	5Y	3

Agency: 021 Human Services
Bureau: 2113002000 Bureau of Operations

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000799	Completed Disaster Assistance Case Records	1	No	1M	3M	1

Agency: 021 Human Services
Bureau: 2113099000 Division of Staff Development

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001039	Im - Std. Trng. Prg. IMSTP Eval - Basic	1	No	5Y	5Y	3
00001043	Im - Eval. Std. Trng. (IMSTP) Progressive	1	No	5Y	5Y	3
00001044	IM - Training Records	1	No	5Y	5Y	3
00001045	IM - Staff Dev. Gen. Mgmt. Files	1	No	5Y	5Y	1
	* AGY - Or until no longer needed.					
00001069	IM - Staff Dev. General Correspondence	1	No	6Y	6Y	1
00001074	Im - Staff Dev. Program Files	1	No	3Y	3Y	1
00001075	IM - Staff Dev. Internal Support Op. Files	1	No	3Y	3Y	1
00001076	IM - Staff Dev. Inter-Dept. Support Op.	1	No	3Y	3Y	3
00001077	IM - Staff Dev. Internal Admin. Files	1	No	3Y	3Y	3
00001078	IM - Staff Dev. Training Projects	1	No	3Y	3Y	3
00001079	IM - Staff Dev. Video Files	1	No	3Y	3Y	1
00001080	IM - Staff Dev. Speakers Bureau	1	No	5Y	5Y	1
00001081	IM - Staff Dev. General Syllabi Files	1	No	5Y	5Y	1

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001082	IM - Staff Dev. Act 75 Interviewing File	1	No	3Y	3Y	1
00001083	IM - Staff Dev. Common Apps. Frms/Sys. File	1	No	0Y	0Y	1
	* AGY - Retain for life of system.					
00001084	IM - Staff Dev. Basic Vdt File	1	No	3Y	3Y	1
00001085	IM - Staff Dev. Std. Trng. Prog. Core Pkg.	1	No	0Y	0Y	1
	* AGY - Retain for life of system.					
00001086	IM - Staff Dev. "Stripes 1 Frms." For Syll.	1	No	999Y	999Y	1
00001087	IM - Staff Dev. Transparency Files	1	No	3Y	3Y	1
00001256	Im - Sd - Trng. Attendance Records	1	No	3Y	3Y	1

Agency: 021
Bureau: 2113401120

Human Services
Bureau of Employment & Training Programs

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000826	Refugee Assistance Program	1	No	2Y	5Y	2
00001070	IM - Training Material	1	No	0Y	0Y	1
	* AGY - Until superseded.					
00001253	SD - Clarification File	1	No	3Y	3Y	2

Agency: 021 Human Services
Bureau: 2113436120 Division of Child Care & Family Support

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001364	Spousal Impoverishment Program	1	No	0Y	7Y	1

* AGY - Until death of person in nursing home.

Agency: 021 Human Services
Bureau: 2113437990 OIM - BETP - Division of Program Implementation

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001445	Workforce Investment Area Contracts Files	1	No	3Y	6Y	1

The Division of Program Implementation is responsible for establishing policies and procedures relating to the overall operation of the Bureau’s programs. In addition, the Division monitors the contracts through which the Bureau provides employment and training services to clients eligible for public assistance programs. These files contain contract proposals, annual budgets, program evaluations, monitoring reports, and program statistics on contractors that provide these services.

Agency: 021 **Human Services**
Bureau: 2113438120 **OIM - BETP - Division of Research, Development & Systems**

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001446	Supported Work Program Files	1	No	3Y	6Y	1

The Division of Research, Development, and Systems is responsible for seeking out and developing new opportunities for education and training activities and for new job placement Strategies. Also, the Division handles the Bureau’s fiscal operations to include contract review and invoice approval. These files include materials for the Supported Work Program and include contract proposals, annual budgets, and semi-annual self assessthent reports.

Agency: 021 Human Services
Bureau: 2114001000 Bureau of Child Support Enforcement

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001270	CSE - General Correspondence	1	No	0Y	0Y	1
	* AGY - Retain for as long as necessary.					
00001271	CSE - Parent Locate Requests	1	No	4Y	4Y	3
00001272	CSE - Cooperative Agreements	1	No	0Y	0Y	3
	* AGY - Until superseded or rescinded.					
00001273	CSE - Domestic Relations Sect. Memos.	1	No	0Y	0Y	2
	* AGY - Until policy is superseded or rescinded.					
00001348	Support Pass-Through Inquiry Sheet	1	No	1Y	4Y	1
00001369	Irs Lawsuit Cases	1	No	0Y	6Y	1
	* AGY - After final settlement.					
00001381	Request For Refund (Intercept Refund)	1	No	1Y	6Y	1
	* AGY - All cases completed in a given period(march thru jan - Records sre not completed during february) are officially closed at the end of the period and moved to a central file area and held one year.					
00001382	IRS Monthly Collection Reports	1	No	1Y	6Y	1
	* AGY - All cases completed in a given period(march thru jan - Records are not completed during february) are officially closed at the end of the period and moved to a central file area and held there for a year.					
00001383	Refund For Non-Aid For Dependant Children Or Foster Care Intercepts	1	No	1Y	6Y	1
	* AGY - All cases completed in a given period(march thru jan - Records are not completed during feb) are officially closed at the end of the period. The records are moved to the central file area on a monthly basis and stored in an open box until the box is filled.					

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001389	Technical-Pa Child Support Enforcement Serv	1	No	3Y	3Y	3
00001390	Contract/Admin-Pa Chld Support Enforcement Serv	1	No	3Y	3Y	3
00001391	Project Mgmnt-Pa Chld Support Enforecement Serv	1	No	3Y	3Y	3
00001392	Functions,Pa Child Support Enforcement Serv	1	No	3Y	3Y	3
00001393	Lottery Intercept Reports	1	No	1Y	6Y	1
00001417	Cost Allocation Plans	1	No	6Y	6Y	3
00001418	PA CS 611 - Voluntary Acknowledgment of Paternity (AOP) Forms	1	Yes	1Y	21Y	1
	<p>These files contain forms PA/CS 611, Acknowledgement of Paternity, forms PA/CS 612, Acknowledgement of Paternity Rights and Responsibilities, Out-of-state Acknowledgement of Paternity forms, related court Orders and various attachments. These Acknowledgement of Paternity forms are signed by fathers of children born out of wedlock either claiming or acknowledging paternity, certified copies of these may be requested by Domestic Relations sections, attorneys, adoption agencies, children and youth agencies, etc.; to be used for child support purposes, adoptions, and awarding of death benefits from the Social Security Administration. The AOP forms are to be held in the Bureau for 1 year from the date of receipt, 20 years at the State Records Center and after a total of 21 years, be purged and destroyed. Approximately 3500-4500 AOP's per month are received from hospitals, county assistance offices and private individuals throughout the state. Acknowledgements are also received from other states. The number received each month is steadily increasing.</p> <p>*AGY- Retention begins upon receipt of form.</p>					
00001419	Statement Of Claims	1	No	1M	1M	3

* AGY - After closing.

Agency: 021 Human Services
Bureau: 2114041000 Division of Central Operations

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001387	Child Support Complt Rec, Title Iv D Program	1	No	1Y	3Y	1

Agency: 021 Human Services
Bureau: 2120101000 Dep. Secretary For Medical Assistance Programs

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000413	Med Progs, Scrng, Diagns, Treatmt Files, Inc Mgt Info, Stats, Budget Matrls & Corres	1	No	2Y	7Y	1
00000414	Gen Corres, Admin Corres, Rpts & Matrls Re: Opns Of Ma Progs	1	No	3Y	7Y	1

Agency: 021 Human Services
Bureau: 2121201000 Bureau of Data And Claims Management

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001041	Remittance Advice (Microfiche)	A	No	3Y	3Y	3
00001343 A	Medicaid Invoices - Orig Film	A	No	5Y	7Y	1
00001345 A	Pend Corrections - Orig Film	A	No	2Y	3Y	1
00001371	Drug Manufacturer's Rebate Program	1	No	5Y	5Y	3
00001385	Signature Transmittal Forms	1	No	18M	4M	1
00001439	Managed Care Enrollment/Disenrollment Request Files	1	No	2Y	2Y	3
	Contain requests for enrollments and disenrollments, supporting documentation, which may include copies of CIS screens and payment documentaion. Some files contain copies of forms UB 92, Ma 319, and HCFA 1500, hospital notes and specific case narratives.					

Agency: 021 Human Services
Bureau: 2121216000 Division of MAMIS Support

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000490	Med Asst Drug Clint Recs - Microfiche 4X6	A	No	5Y	5Y	1
00000540 A	Claim Invoices - Hardcopy	1	No	1Y	1Y	1
	* AGY - Destroy after filming.					
00000540 B	Claim Invoices - Film	A	No	0Y	4Y	1
00000611	Medicaid Invoices Id: MA-Inv Appl: A2	A	No	2Y	5Y	1
00000612 A	Medicaid Invoices,CLM30001 A3 Master Copy	A	No	0Y	7Y	1
00000612 B	Medicaid Invoices,CLM30001 A3 Duplicate Copy	A	No	7Y	7Y	3
00000614 A	Purged Paid Claims History File ID#S121MQ55 Master	A	No	1M	5M	1
00000614 B	Purged Paid Claims History File A-5#S121MQ55 Duplicate	A	No	5Y	5Y	3
00000618 A	Mars Input ID File,Master Comfiche,A-9	A	No	2M	2M	1
00000618 B	Mars Input File ID,Duplicate Comfiche,A-9	A	No	2M	2M	1
00000619	Provider Reports ID: PVR47510 Appl: A10	A	No	2Y	5Y	1
00000620	Provider Reports ID: PVR47510 Appl: A11	A	No	2Y	5Y	1
00000621	Procedure File ID: RF0800 Appl: A12	A	No	2Y	5Y	1

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000622	Drug File ID: RF0810 Appl: A13	A	No	2Y	5Y	1
00000623	Diagnosis File ID: RF0820 Appl: A14	A	No	2Y	5Y	1
00000624	Edit Air File ID: RF0830 Appl: A15	A	No	2Y	5Y	1
00000625	Mars Reports ID: MR3000R02 Appl: A16	A	No	2Y	5Y	1
00000626	Provider Exception Profiles ID: MS7260R001P Appl:A17	A	No	2Y	7Y	1
00000627	Provider Summary Profiles ID: MS7260R002P Appl:A18	A	No	2Y	7Y	1
00000628 A	Sorted Invoices Id,Master Comfiche,,A-19	A	No	2M	2M	1
00000628 B	Sorted Invoices Id,Duplicate Comfiche,A-19	A	No	2Y	2Y	3
00000630	Treasury Tape ID: Unlabeled Appl: A21	A	No	2Y	5Y	1
00000631 A	Sorted Edited Invc.Id,Master Comfiche A-22	A	No	2M	2M	1
00000631 B	Sorted Edited Invc. Duplicate Comfiche A-22	A	No	2Y	2Y	3
00000633	EOB Report File Id: MR3800R01	A	No	2Y	7Y	1
00000634 A	TIP Log,Master Comfiche,A-25	A	No	2M	2M	1
00000634 B	TIP Log,Duplicate Comfiche, A-25	A	No	2Y	2Y	3

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000637	Recipient Exemption Profiles Id: MS7260R001R Appl:A28	A	No	2Y	7Y	1
00000638	Treatment + Analysis Exception Profiles Id: Ms7260R001Ta Appl:A29	A	No	2Y	7Y	1
00000639	Provider Summary Profile Id: 7260R002R Appl:A30	A	No	2Y	7Y	1
00000640	Treatment + Analysis Summary Profile Id: Ms7260R002Ta Appl:A31	A	No	2Y	7Y	1
00000642	Inspection Of Care File ID: Source Document Filming Appl:A33	A	No	2Y	7Y	1
00000647	Claim Control Report ID: MP501	A	No	2Y	2Y	3
00000649	Edit Error Report ID: MP503	A	No	2Y	2Y	3
00000658	Invoice Processing Operator Error Listing ID: MR101	A	No	2Y	2Y	3
00000670	Provider Correspondence Id: Source Document Listing	A	No	2Y	5Y	1
00000671	Selected Drug Information By Drug Code Id: RF0815-01 Appl:A-34	A	No	2Y	5Y	1
00000672	Selected Drug Information By Drug Name Id: RF0815-02 Appl:A-35	A	No	2Y	5Y	1
00000673	Transaction Log-Summary Of Tip Log ID: TSC-61011 A-36	A	No	2Y	5Y	1
00000684	MRS Federal Rpts,ID-MM37R7	A	No	2Y	5Y	1

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000685	Corrected Pends,ID-S1217Mr10 (S1217 Out)	A	No	2Y	5Y	1
00000686	Daily Rpts & Pends,ID-S1212MP50 (S1212 Out)	A	No	2Y	5Y	1
00000687 A	Transaction Files,Master Comfiche,Id A-41	A	No	2M	2M	1
00000687 B	Transaction File,Duplicate Comfiche ID A-41	A	No	2Y	2Y	3
00000688 A	Transactions File Master Comfiche,A-42	A	No	2M	2M	1
00000688 B	Transaction Files Duplicate Comfiche,IDA-42	A	No	2Y	2Y	3
00000689	Weekly Tape To Tape Trans,ID-A1332MQ77 (S1332 OUT)	A	No	2Y	5Y	1
00000690	Provider Exception Log,ID-MS7270R001P	A	No	2Y	5Y	1
00000691	Recipient Exception Log,ID-MS7270R001R	A	No	2Y	5Y	1
00000692	Treatment Analysis Exception Log,ID-MS7270R001TA	A	No	2Y	5Y	1
00000693	Year To Date Payment Summary,ID-MQ776	A	No	2Y	5Y	1
00000694	Medicaid Cross Reference Listing,ID-CLM30015	A	No	2Y	5Y	1
00000695	Vt Detail Report,ID-MQ770002	A	No	2Y	5Y	1
00000696	Manis 1099 Rpts,ID-1099 COM-520M & MAM520 Rpt R	A	No	2Y	5Y	1

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000697	Drug Tape File,ID-RF02SB2	A	No	2Y	5Y	1
00000698	Procedure Tape File,ID-RF09402	A	No	2Y	5Y	1
00000699	Drug Refill Invoice Tape,ID-Drug Refill	A	No	2Y	5Y	1
00000700	Provider Pend Listing,ID-S1212MQ95	A	No	2Y	5Y	1
00000701	Prescribers License Numbers,ID-42003 Pls/420	A	No	2Y	5Y	1
00001234 A	MAO - A-56 Rej. F/A Rpt. Tpl 060 (Orig Film)	A	No	7Y	7Y	3
00001235 A	MAO - A-57 Purged TPL Rcds. (Orig Film)	A	No	7Y	7Y	3
00001236 A	MAO - A-58 TPL Delted Rcds. (ORIG Film)	A	No	7Y	7Y	3
00001237 A	MAO - A-59 Co-Pay Exempt Drugs (Orig Film)	A	No	4Y	4Y	3
00001238 A	MAO - A-60 Inpt. Hsp. Rev. Purge (Orig Film)	A	No	7Y	7Y	3
00001239 A	MAO - A-61 Chr Purge (Orig Film)	A	No	7Y	7Y	3
00001240 A	MAO - A-62 HCFA 350 Rpt. (Orig Film)	A	No	7Y	7Y	3
00001241 A	MAO - A-63 Inpatient Cst. Sttlmt. (Orig Film)	A	No	7Y	7Y	3
00001242 A	MAO - A-64 Ltc Settlement (Orig Film)	A	No	7Y	7Y	3

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001243 A	MAO - A-65 Tpl Purged Tp/Rj File (Orig Film)	A	No	7Y	7Y	3
00001244 A	MAO - A-66 Prvd. Rmt. Advice (Orig Film)	A	No	2Y	2Y	3
00001245 A	MAO - A-67 Hio Pymt. Stats.(Orig Film)	A	No	7Y	7Y	3
00001246 A	MAO - A-68 Edit Error File (Orig Film)	A	No	4Y	4Y	3
00001247 A	MAO - A-69 Drg Records (Orig Film)	A	No	4Y	4Y	3
00001248 A	MAO - A-70 Prcd. File By Ty. Ser.(Orig Film)	A	No	4Y	4Y	3
00001249 A	MAO - A-71 Credit Hold File (Orig Film)	A	No	7Y	7Y	3
00001250 A	MAO - A-72 Hmo & Hio 014 Rpt. (Orig Film)	A	No	7Y	7Y	3
00001251 A	MAO - A-73 Hmo & Hio 024 Rpt. (Orig Film)	A	No	3Y	3Y	3
00001344 A	Remittance Advice,Master Comfiche, A-8	A	No	2M	5M	1
00001344 B	Remittance Advice,Duplicate Comfiche, A-8	A	No	5Y	5Y	3
00001400	Birthing Expense Requests	1	No	1Y	1Y	3
00001412 A	Master Comfiche A-125 ECM Unformatted Files	A	No	1M	2M	1
00001412 B	Duplicate Comfiche A-125 Unformatted Files	A	No	2Y	2Y	1

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001413 A	Master Comfiche A-126 Unformatted Files	A	No	1M	5M	1
00001413 B	Duplicate Comfiche A-126 Unformatted Files	A	No	5Y	5Y	3
00001500	Electronic Remittance Advice Enrollment Request - Electronic Provider request to transmit Electronic Remittance Advice to a third party vendor. Requests prior 9/17/2012 are maintained in paper (item 1501).	B	No	2Y	2Y	6
00001501	Electronic Remittance Advice Enrollment Request - Paper Provider request to transmit Electronic Remittance Advice to a third party vendor. Requests post 9/17/2012 are maintained in electronic form (item 1500).	1	No	2Y	2Y	3

Agency: 021 Human Services
Bureau: 2122001000 Bureau of Fee For Service Programs

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000732	Diagnostic Related Groupings Operation	1	No	3Y	6Y	1
00000744	Audits/Reviews/Assessments	1	No	3Y	6Y	1
00000762	MA-87 Hosp Adm Drg/Chr Cert - Proof Of Return Copies	1	No	1Y	3Y	1
00000765	Inpatient Hospital Correspondence	1	No	3Y	9Y	1
00000767	Hospital Stay Financial Information	1	No	2Y	9Y	1
00000769	Outlier Incoming Files	1	No	3M	3M	1
00000770	Outlier Working Files	1	No	3M	3M	1
00000771	Outlier Approved Files	1	No	18M	78M	1
00000772	Outlier Denied Files	1	No	2M	2M	1
00001447	Breast & Cervical Cancer Treatment Program (BCCTP) - Case Files	1	No	1Y	7Y	1

The BCCPT program pays for treatment for women who would not otherwise qualify for Medical Assistance (MA), have no other creditable insurance, and would not otherwise be able to obtain treatment for these cancers. An eligibility determination for continuance in the program is completed by OMAP on information submitted by the enrollee and the enrollees' physician on a preset schedule. These case records are the result of the eligibility determination for continuance in the program, and other than the determination are used in appeals hearings. The record consists of a PA 600 BP, and PA 600 BR, eligibility applications, and supporting medical records to include plan of care, diagnostic testing, and physician's notes.

* AGY - After Closure

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001448	Family Care Network(FCN) - Provider Enrollment Records	1	No	0Y	7Y	1

The Family Care Network was a Fee-For-Service Program that managed the children in the Medical Assistance Access Program. Primary care physicians must enroll in this program in order to receive certain payments for services. The records consist of enrollment certifications, supplemental agreements, and other Departmental correspondence. The FCN program has ended with the implementation of the Access Plus Program effective March 1, 2005. These records will be maintained for an additional 7 years after closure of the program.

* AGY - After Completion of Program

00001462	180 Day Unit	1	No	18M	18M	3
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Records from the 180 day unit. The 180 day unit reviews exception requests for billing from providers. These are records

from those that were denied or lead to a hearing.

*AGY- After Judgement.

Agency: 021 Human Services
Bureau: 2122023000 Division of Medical Review

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000763	Inpatient Denial Files	1	No	1Y	7Y	1
00000773	Inpatient Hospital Review Appeal Files	1	No	1Y	8Y	1
00001455	Medical/Physical Health-Outpatient Services Authorization	1	No	1Y	8Y	1
	The files contain MA-97, Outpatient Services Authorization Request, these are requests by clients for services that require prior authorization. These services include home health, durable medical equipment/medical supplies, shift nursing, PET scans, and breast cervical program. These requests are "approved other than requested" or "denied".					
00001460	Dental Prior Authorization Requests (MA 98) - Denials	1	No	2Y	7Y	1
	Records Contain MA 98 forms and all supporting documents to include x-rays and all other pertinent medical information.					

Agency: 021 Human Services
Bureau: 2122025000 Division of Operations

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001350	Targeted Case Management Program Files	1	No	1Y	4Y	1

* AGY - After closing.

00001423	Provider Enrollment Agreements Excluding Long Term Target Case Management	1	No	1M	73M	1
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The files include enrollment applications, legal provider AG reements, provider notice information, correspondence, training reports, on billing and policy. These hard copy records set up and back up input to the computer system.

* AGY - After closed.

Agency: 021 Human Services
Bureau: 2122027000 Division of Rate Setting

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000742	Hospital Cost Reports	1	No	3Y	5Y	1

The files contain documents, letters, correspondence, hospital cost reports, and general backup documentation used in setting hospital payment rates.

Agency: 021 Human Services
Bureau: 2122101000 Bureau of Policy, Budget and Planning

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000565	Medical Assistance Payment History Files	1	No	1M	157M	1
00000718	Provider Type (Non-Statistical)	1	No	2Y	4Y	1
00000719	General Correspondence File	1	No	2Y	4Y	2
00000720	Statistics File	1	No	3Y	5Y	1
00000721	Budget File	1	No	3Y	5Y	1
00000730	Legal Documents	1	No	10Y	20Y	1
00000741	Regulation Development	1	No	3Y	13Y	1
00000743	General Information	1	No	2Y	4Y	1
00000764	Division Administrative Files	1	No	6M	6M	3
00000774	Statistical Sampling Inpatient Med Records	1	No	4Y	7Y	1
00000775	Retrospective Monitoring Files	1	No	3Y	9Y	1
00001339	Special Pharmaceutical Benefits Progm (SPBP)	1	No	7Y	7Y	3

Agency: 021 Human Services
Bureau: 2123134000 Division of Long Term Care Client Services

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001451	Michael Dallas Waivers - Consumer Case Files	1	No	0Y	4Y	1

The Michael Dallas Waiver provides home and community based services to eligible persons of any age who are technology-dependent. Technology dependence is defined as requiring technology to sustain life or replace vital bodily function and avert immediate threat to life. These records are related to individuals who are technology dependent and participate in the waiver program. They include the application, plan of care, level of care, nursing care plans, service coordination plans and billing inventory records.

* AGY - Until after death OR case closure

Agency: 021 Human Services
Bureau: 2130101000 Deputy Secretary for Developmental Programs

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000133	General Correspondence	1	No	3Y	3Y	1
00000484	Fed Applc For Cnstrctn Grts-Corr & Rlt Mtrls	1	No	5Y	20Y	1
00000514	Organizational & History Files	1	No	1Y	3Y	1
00000515	General Correspondence Files	1	No	3Y	3Y	1
00000516	Minutes Files	1	No	2Y	2Y	1
00000517	Resourc Files For Tech Assistance Purposes	1	No	2Y	2Y	1
00000518	Training Files	1	No	2Y	2Y	1
00000519	Legislative & Regulatory Reference Files Effctng Opns Of Unit	1	No	5Y	5Y	1
00000520	Grnt Files Re: Intl Grnt Acctblty	1	No	1Y	1Y	1
	* AGY - Or federal audit whichever longer.					
00000521	Statistical Report	1	No	5Y	10Y	1
00000522	Annual Work Plan	1	No	1Y	3Y	1
00000523	Administrative Files	1	No	2Y	2Y	1

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000588	Contract Files	1	No	5Y	8Y	1
00000589	Budget/Program Review Files	1	No	3Y	3Y	1
00000590	Meeting Minutes & Consumer Relations Files	1	No	2Y	2Y	2
00000591	MR Program Regs & Internal Admin Procedures	1	No	5Y	5Y	2
00000592	Legislative & Regulatory Reference Files	1	No	4Y	4Y	1
00000595	County MH/MR Annual Plans	1	No	3Y	5Y	2
00000600	Budget & Planning Data	1	No	5Y	10Y	1
00000604	Medical Assistance Files - SNF & ICF/MR	1	No	2Y	7Y	1
00000748	Title Xx	1	No	5Y	7Y	1

Agency: 021 Human Services
Bureau: 2131301000 ODP - Bureau of Policy & Program Support

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000135	Mr - Fo - Gen. Corresp. On Facilities	1	No	2Y	2Y	1
00001137	MR - MF Audits Of Mental Retardation Prgms.	1	No	4Y	4Y	3
00001140	Non-State Operated ICF/MR	1	No	5Y	5Y	3
	* AGY - Then film rate setting corres, item 1140a.					
00001140 A	Non-State Operated ICS/MR - Microfilm	A	No	10Y	10Y	3
00001141	MR - CS Non-State Op. ICF/MR Fac. Audit File	1	No	1Y	1Y	3

* AGY - Aft. Fac. Ceases/extend for legl. Problems.

Agency: 021 Human Services
Bureau: 2139001000 Bureau of State Operated Facilities

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000231	Laundry Inspection Report OA520	1	No	1Y	1Y	1
00000284	Patient Canteen Coupons	1	No	0Y	0Y	1
	* AGY - End of FY or after AG audit whichever first.					
00000381	Canteen Operational Records	1	No	1Y	1Y	1
	* AGY - After AG audit.					
00000471	General Corres, Rpts, Misc Info, Tng Matls	1	No	5Y	5Y	1
00000472	Clearinghouse Materials	1	No	20Y	20Y	1
00000473	Storage Of Clearinghouse Srvys,Rpts,Etc	1	No	20Y	20Y	1
00000474	Retrieval Of Clearinghouse	1	No	20Y	20Y	1
00000475	Training Program Files,Corres,Rpts,,Memos	1	No	20Y	20Y	1
00000525	Patient / Resident Records - Active	1	No	0Y	0Y	3
	Original records, reports, evaluations, end notes on admission, treatment, and discharge of patients and residents in state-operated hospital/centers.					
	* AGY - Files are actively maintained at the facility until the individual's death or discharge.					
00000525 A	Patient / Resident Records -Original Microfim	A	No	7Y	7Y	2
	Records become inactive after death or discharge. Six (6) months after death or discharge, individual files are microfilmed and after a quality control evaluation, the original records are destroyed.					

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000525 B	Patient / Resident Records - Duplicate Microfilm A reproduction of an original microfilm file. * AGY - These duplicate microfilm records are destroyed as soon as the requestor of the file completes the business at hand.	A	No	0Y	0Y	3
00000525 C	Patient / Resident Records - Inactive Files are not scheduled for microfilm become inactive upon death or discharge of patient/resident. * AGY - If patient/resident is a minor, retain record in its entirety for seven (7) years after the patient/resident has reached his/her majority. ** Following the required time period for maintaining the complete medical record, records shall be purged of unnecessary, extraneous material. The remaining patient history file will be limited to the following items and shall be retained by the facility. In individual instances, additional items may be kept in the patient history file (Series Item #1436).	1	No	7Y	7Y	3
00000525 D	Patient / Resident Records (Farview) * AGY - Until 6 mo after death/discharge then film.	A	No	50Y	50Y	2
00000538	Patient/Resident History File	1	No	10Y	10Y	1
00000716	National School Lunch Program Files	1	No	6Y	6Y	1
00000733	Controlled Maintenance Program File	1	No	1Y	1Y	1
00000734	Controlled Maintenance Prgm Historical File	1	No	0Y	0Y	1
00000978	* AGY - Until forms and/or equipment obsolete. West Virginia Assessments	1	No	0Y	0Y	3
00000979	* AGY - Merge w/patient-resident records before file close. MH - MR - RC - Safety Records	1	No	5Y	5Y	3

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000980	MH - MR - RC - Pharmacy Records	1	No	5Y	5Y	3
00000981	MH - MR - RC - Revenue Records	1	No	5Y	5Y	3
00000982	Guardian Records	1	No	5Y	5Y	3
00000983	MH - MR - RC - Client Clothing Files	1	No	1Y	1Y	3
	* AGY - After death or discharge.					
00000984	Residential Environ. Enrichment Records	1	No	1Y	1Y	1
00000985	MH - MR - RC - Volunteer Services	1	No	5Y	5Y	3
00000986	MH - MR - RC - Competency Test Materials	1	No	0Y	0Y	3
	* AGY - Merge w/pat-resid. Records before file close.					
00000987	MH - MR - RC - Correspondence Clients	1	No	5Y	5Y	3
00000988	Data Collection Forms - Hardcopy Active	1	No	0Y	0Y	3
	* AGY - DEP ending upon facility microfilm optional.					
00000988 A	Data Collection Forms (Orig Film)	A	No	50Y	50Y	3
00000988 B	Data Collection Forms (Dupl Film)	A	No	0Y	0Y	3
	* AGY - Destroy film upon completion of work.					
00000988 C	Data Collection Forms - Hardcopy Inactive	1	No	5Y	5Y	3
	* AGY - Refer to STD-56 schedule for disposition.					
00000989	MH - MR - RC - Empl. Sched. & Staff. Plan	1	No	5Y	5Y	3

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000990	MH - MR - RC - Human Rghts. Committee Info.	1	No	5Y	5Y	3
00000991	MH - MR - RC - Behavior Mgmt. Comtt. Info.	1	No	5Y	5Y	3
00000992	MH - MR - RC - EDP Proced. & Information	1	No	0Y	0Y	3
	* AGY - Until superseded with new information.					
00000993	Gen. Serv. Contracts GS Pur 80	1	No	0Y	0Y	1
	* AGY - Per contract or equipment lease.					
00000994	MH - MR - RC - Surplus Equipment Files	1	No	5Y	5Y	1
	* AGY - After disposal is completed.					
00000995	MH - MR - RC - Patient/Resid. Chart Audits	1	No	5Y	5Y	3
00000996	MH - MR - RC - Med. Asst. And Care Reviews	1	No	5Y	5Y	3
00000997	MH - MR - RC - Utilization Review Records	1	No	5Y	5Y	3
00000998	MH - MR - RC - Oral Hygiene Index Reports	1	No	5Y	5Y	3
00000999	MH - MR - RC - Nursing Peer Reviews	1	No	5Y	5Y	3
00001000	MH - MR - RC - Infect. Cntrl. Cmmtt. Info.	1	No	5Y	5Y	3
00001001	MH - MR - RC - Human Sexuality Cmmtt. Info.	1	No	5Y	5Y	3
00001002	MH - MR - RC - Pharmacy Committee Info.	1	No	5Y	5Y	3

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001003	MH - MR - RC - Maintenance Records	1	No	0Y	0Y	3
	* AGY - Until superseded.					
00001006	MH - MR - RC - Ext. Admin/Operational Policy	1	No	0Y	0Y	1
	* AGY - Until term. Replaced or inc. Into manual sys.					
00001020	MH/MR/RC Abes. Med. Monit. Abatem. Records	1	No	30Y	30Y	3
	* AGY - Or until microfilmed.					
00001020 A	MH/MR/RC Abes. Med. Monit. Abtm. (Orig Film)	A	No	30Y	30Y	3
00001020 B	MH/MR/RC Abes. Med. Monit. Abtm. (Dupl Film)	A	No	0Y	0Y	3
	* AGY - Retain as needed.					
00001020 C	X-Rays Assoc. W/Abes. Med. Monit. Abt. Rcds.	1	No	30Y	30Y	3
00001126	MH - MR - RC Pat/Resid. Gen. Ed. Degs. (GED)	1	No	5Y	5Y	3
	* AGY - Or if mnr. 3 yrs. Aft. Maj. Whvr. Longer.					
00001127	MH - MR - RC Medicaid Cost Apportionment	1	No	7Y	7Y	3
	* AGY - Or until audit.					
00001128	MH - MR - RC Medicare Cost Reporting	1	No	7Y	7Y	3
	* AGY - Or until audit is completed.					
00001129	MH - MR - RC Patient Laboratory Records	1	No	5Y	5Y	3
	* AGY - After inactive or 3 yrs. Aft. Maj. Wh. Lngr.					
00001130	MH - MR - RC Patient Dietary Information	1	No	5Y	5Y	3
	* AGY - After inactive or 3 yrs. Aft. Maj. Wh. Lngr.					
00001131	MH - MR - RC Qlty. Assr. & Qlty. Ctrl Mtr.	1	No	10Y	10Y	3

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001132	MH - MR - RC Stores Inventory Cards	1	No	5Y	5Y	1
	* AGY - Or completion of audit per schedule STD-56.					
00001133	MH - MR - RC Fixed Assets	1	No	5Y	5Y	1
	* AGY - Or completion of audit per schedule STD-56.					
00001142	MH - MR - RC Contracted Bldg/Grnds.Projs.	1	No	5Y	5Y	2
	* AGY - After audit upon prop. Disp.					
00001352	Time & Attendance Records	1	No	7Y	7Y	3
00001360	Hosp/Cntr Advisory Bd Trustees Mins & Rsltns	1	No	999Y	999Y	2
	* AGY - Or until hospital/center closes.					
00001436	MH Patient Record (Adult)	1	No	0Y	0Y	2
	* AGY - Keep entire file for 7 years after discharge or death, then reduce the file to:					
	a. Face sheet/personal data sheet information					
	b. Psychiatric assessment - initial and most recent					
	c. Social histories-initial and most recent					
	d. Medical examination - initial and most recent					
	e. Psychological assessment and testing					
	f. Psychiatric discharge summary, or Final Note, or Death Summary					
	g. Autopsy (if available)					
	h. Picture (if available)					
	i. Inoculation Record (immunization summary), last PPD					
	** Maintain reduced file permanently at facility. In the event that there is a facility closure. these records must be maintained for twenty (20) years after closure. After 20 years the records will be destroyed with retention of a data file for each patient which includes the following information; Name, Social Security Number, Birth Date, Diagnosis, Admission Date(s), and Discharge Date (s)					

Agency: 021 Human Services
Bureau: 2139301000 ODP - Bureau of Supports for People with Intellectual Disabilities

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000319	Mental Retardation Chapter 1 Project Grants	1	No	3M	4M	1
00000597	MR - CS - Fam. Support Serv. Files	1	No	2Y	3Y	1
00000598	MR - CS - Comm. Residential Prg. History	1	No	5Y	10Y	2
00000602	MR - CS - Pos. Papers On Lic/Cert. Fac.	1	No	5Y	5Y	2
00000603	MR - CS - Report Files	1	No	1Y	3Y	2
00000749	Licensing Files - Comm Homes, Family Homes, Adult Train Facilities, Voc Rehab Facilities, and ICF/MR	1	Yes	2Y	2Y	3
	<p>The regional offices provide license and compliance review to community based services in Pennsylvania including county operated administrative structures and community based providers. The files contains PW 633, applications PW 68 and 68.1, Recommendations for Certificates of Compliance, Licenses with transmittal cover letters, lists of deficiencies and plans of correction, inspection tools and notes, Labor & Industry approvals, Corporation papers, waivers, and all related correspondence.</p> <p>* AGY - maintain in Agency for 2 years after closure.</p> <p>** Maintain in Agency for 5 years if closed under adverse conditions.</p>					
00001134	MR - CS 2176 Waiver	1	No	5Y	5Y	2
00001135	MR - CS Case Management Amendment	1	No	5Y	5Y	3
00001136	MR - CS Aids & Hepatitis B	1	No	3Y	3Y	3
00001138	MR - CS Gen. Cnty. Corresp. & Related Mtrls.	1	No	2Y	2Y	1

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001139	MR - CS Pennhurst Client Case Files	1	No	5Y	5Y	1
00001355	Case Files - Mentally Retarded Citizens	1	No	1M	3M	1
00001375	Targeted Service Management Files	1	No	2Y	5Y	1
00001425	Medical Retardation - Unusual Incident Reports (URI)	1	No	3Y	7Y	1
	Uri reports are submitted as required by title 55 paragraphs 6000.421-427,434 & 435. They are submitted by all central region counties and providers fromr services. They give the client name, address, base services unit number, county, date of incident, time, location, description of what happened, who was involved, any injuries, illness, hospital admission, etc. The circumstances are the same for each region.					
00002045	Enterprise Incident Management (EIM), Office of Developmental Programs (ODP), Master Client Index (MCI) Individual	B	No	25Y	25Y	6
	EIM is a comprehensive, secure web-based incident and complaint reporting system that provides the capability to record and track incidents, track/trend incident data for quality improvement activities and record participant complaints linking them to incidents as needed. EIM, ODP is comprised of incidents pertaining to persons with intellectual disabilities who are living with their family, in their own home or other community setting. Within EIM, ODP, there are individuals listed in the MCI with an assigned MCI number. Records relate to the individuals listed in the MCI.					
	*AGY - Retain 25 years after case closure of MCI individual.					

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00002046	Enterprise Incident Management (EIM), Office of Developmental Programs (ODP), Non-Master Client Index (MCI) Individual EIM is a comprehensive, secure web-based incident and complaint reporting system that provides the capability to record and track incidents, track/trend incident data for quality improvement activities and record participant complaints linking them to incidents as needed. EIMS ODP is comprised of incidents pertaining to persons with intellectual disabilities who are living with their family, in their own home or other community setting. Within EIM ODP, there are individuals that are not listed in the MCI as a result, these individuals do not have an assigned MCI number. Records relate to the individuals not listed in the MCI. *AGY - Retain 100 years after case closure of Non-MCI Individual.	B	No	100Y	100Y	7
00002047	Enterprise Incident Management (EIM), Office of Developmental Programs (ODP), Site-level Incident Closure EIM is a comprehensive, secure web-based incident and complaint reporting system that provides the capability to record and track incidents, track/trend incident data for quality improvement activities and record participant complaints linking them to incidents as needed. EIMS, ODP is comprised of incidents pertaining to persons with intellectual disabilities who are living with their family, in their own home or other community setting. These records within EIM, ODP, involve site-level incidents involving the site and pertain to more than one person. *AGY - Retain 10 years after site-level incident closure.	B	No	10Y	10Y	6
00002058	Home and Community-based Services Information System (HCSIS) HCSIS is a secure web-enabled information system which manages information regarding participants and providers of Home and Community-Based Services waiver services. HCSIS will collect and maintain demographic data related to consumers and service providers, determine and maintain a standardized individual service plan, improve the provider billing process, maintain consumer privacy in a secure technical environment, maintain high quality data for reporting processes, and serve as a centralized repository for notes specifically relating to services that consumers receive through ODP waivers and programs. HCSIS, ODP are individualized services and supports to persons with intellectual disabilities who are living with their family, in their own home or other community setting. The records for persons receiving these services are maintained in HCSIS. *AGY: Retain records 10 years after date of death of participant or 25 years after case closure.	B	No	0Y	0Y	6

Agency: 021 Human Services
Bureau: 2140101000 Secretary of Public Welfare

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000212	Secretary's Correspondence Letters and inquiries from constituents, organizations, and the Secretary's reponse to their inquiries. Exception granted from G001.001, Administrative Correspondence and Subject Files (Executive-level).	1	No	2Y	6Y	2
00000213	Administrative Correspondence W/Fed Govt, Put Org & Indv	1	No	2Y	12Y	2
00000217	State Inst Files, Corres & MatrIs Re: Opns Of St Insts	1	No	2Y	12Y	1
00000218	Fed. Dept. Of Health & Human Services Files Actvs St & Loc Govt	1	No	2Y	12Y	1
00000224	Dept Pub Asst File, State Brd Mtg Mins, Hist Files, Ag Audit, Misc Rpt	1	No	4Y	14Y	1
00001313	Admin. Corres. - Other St. Agencies	1	No	2Y	12Y	2
00001314	Corres. To/Frm. Gov. Off. (Inc. Staff)	1	No	2Y	12Y	1
00001315	Incoming Correspondence Log	1	No	3Y	13Y	1

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00002041	Closed Facility Licensing Documents Files include completed applications/renewals, certificates of compliance with cover letters, recommendations for certificate, corporation papers, L&I or DOH approvals (Occupancy Permit), waivers, enforcement actions, verified complaints, unverified complaints, subpoenas or court orders, deficiencies and plans of corrections, inspection notes, correspondence, pre-licensing surveys, certified receipts for mailings, reportable incidents, Civil Rights compliance, Child Abuse and Criminal History Clearances, proof of Fire Safety Approval, Certificate of Occupancy, and license denials. Files currently maintained in hard copy with plans to convert to electronic. *AGY - Retain 5 years after date of facility closure.	M	No	5Y	5Y	1
00002042	Open Facility Licensing Documents Files include certificates of compliance with cover letters, recommendations for certificate, unverified complaints, deficiencies and plans of corrections, inspection notes, correspondence, pre-licensing surveys, certified receipts for mailings, reportable incidents, and license denials. Files currently maintained in hard copy with plans to convert to electronic. *AGY- Retain 5 years from date of receipt while facility is open.	M	No	5Y	5Y	1
00002043	Illegal Operation Actions Files may include Illegal operation actions such as operating without a license, conflict of interest, financial irregularities, and theft. * AGY - 10 Years after the date the facility closes.	M	No	10Y	10Y	1
00002044	Open Facility Permanent Licensing Documents Files include completed applications/renewals, corporation papers, L&I or DOH approvals (Occupancy Permit), waivers, enforcement actions, verified complaints, subpoenas or court orders, Civil Rights compliance, Child Abuse and Criminal History clearances, and proof of Fire Safety approval, and Certificate of Occupancy. Files currently maintained in hard copy with plans to convert to electronic. *AGY - Maintain while facility is open.	M	No	0Y	0Y	3

Agency: 021 Human Services
Bureau: 2143001000 Bureau of Information Systems

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000350	BIS - Administrative Files (Hardcopy) Docmnts Re: Opns This Off/Bur	1	No	4Y	4Y	1
00000350 C	Bis - Administrative Files (Diskettes)	B	No	0Y	0Y	1
	* AGY - Until superseded with new information.					
00000350 D	Bis - Administrative Files - Equipment	1	No	0Y	0Y	1
	* AGY - Keep as long as required to support equip.					
00000354	Corres - Data Processing Equipmnt And Prog Development	1	No	7Y	7Y	1
00000728	Dpw Monthly Telephone Invoices	1	No	1Y	1Y	1
00000729	Prog Specs Assis Disbsmnt Integration Proj	1	No	0Y	0Y	1
	* AGY - Until replaced or obsolete.					
00000780	Security Logs (Hardcopy)	1	No	0Y	0Y	1
	* AGY - Reviewed, microfilmed, destroyed.					
00000780 A	Security Logs (Original Microfilm)	A	No	5Y	7Y	1
00000850	Bis - Job Accounting File	1	No	0Y	0Y	1
	* AGY - No hardcopy produced, only microfilm.					
00000850 A	Bis - Job Accounting File (Orig Film)	A	No	7Y	7Y	3
00000850 B	Bis - Job Accounting File (Dupl Film)	A	No	7Y	7Y	3

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000850 C	Bis - Job Accounting File (Computer Tapes)	B	No	0Y	0Y	1
	* AGY - Retained until replaced with new data.					
00000851	Bis - Equipment Inventory	1	No	0Y	0Y	1
	* AGY - Until output no longer needed by user.					
00000851 A	Bis - Equipment Inventory (Orig Film)	A	No	7Y	7Y	1
00000851 B	Bis - Equipment Inventory (Dupl Film)	A	No	7Y	7Y	1
00000851 C	Bis - Equipment Inventory (Computer Tapes)	B	No	1Y	1Y	1
00000942	BIS - Construction Files	1	No	999Y	999Y	1
	* AGY - Keep perm. For use w/plan. Of equip. Changes.					
00000943	BIS - Training, Costs, & Correspondence	1	No	0Y	0Y	1
	* AGY - Reference hardcopy schedule for disposal.					
00000944	BIS - Budget & Related Correspondence	1	No	3Y	7Y	1
00000945	BIS - Utilization Reports	1	No	3Y	7Y	1
00000945 C	BIS - Utilization Reports (Diskettes)	B	No	0Y	0Y	1
	* AGY - Until replaced with new information.					
00000946	BIS - Cost Allocation Plans	1	No	3Y	7Y	1
00000947	BIS - Run Account Code History	1	No	0Y	0Y	1
	* AGY - Until superseded.					

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000948	BIS - ICS Fiscal Reports	1	No	3Y	3Y	3
00000949	BIS - Quarterly Sys. Status Reports	1	No	0Y	0Y	1
	* AGY - Until superseded.					
00000950	BIS - Advance Planning Documents	1	No	0Y	0Y	1
	* AGY - Until information is superseded.					
00000950 C	BIS - Advance Planning Documents (Diskettes)	B	No	0Y	0Y	1
	* AGY - Until information is superseded.					
00002001	Automated Restitution Referral Computation System	B	No	4Y	4Y	6
	This system tracks, computes and monitors cash, food stamp and medical overpayments. Approximately \$52 million in overpayments are computed annually. Certain items purged based on specific criteria i.e. (1) based on information from cao's (2) purges June 15 and December 15 of each years in OIS.					
00002003	Child Support Enforcement Legacy Accounts Receivable System	B	No	999Y	999Y	6
	This system is a repository of historical data that concerned the collection of child support, reimbursement, and restitution overpayment claims. Updates to system ceased in 1999 when PA child support enforcement systems (pacs) was implemented in pa. File is now inquiry only.					
00002004	PA'S Client Support Info System / Client Info System Pass -Thru Checksystem	B	No	999Y	999Y	6
	Generates requests for support pass-thru checks from pa's client support enforcement systems to client information systems. Generates the monthly child support notice.					
00002005	Disqualified Recipient System	B	No	4Y	4Y	6
	This system tracks recipients who have committed intentional program violations in Pennsylvania and other states (3 strikes and you're out!). System also keeps track of temporary food stamp assistance to needy families and general assistance.					

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00002006	Department of Public Welfare, Client Info Systems History Retention System This system maintains the Department of Human Services historical data for purged case, recipient, cash and food stamp benefits. The data is needed for Medical Assistance Estate Recovery as per PA Code Title 55 Public Welfare Chp. 258 Medical Assistance Estate Recovery and for researching claims for which third parties are liable as a result of tort claims asserted by a beneficiary of MA benefits as per PA Code Title 55 Public Welfare Chp. 259 Third Party Liability.	B	No	80Y	80Y	6
00002007	Income Eligibility Verification System Income eligibility validation system (IVES): this system maintains income and wage information pertaining to the departments clients. *AGY - After Case Closure	B	No	7Y	7Y	6
00002008	Low Income Home Energy Assistance Program Low income energy assistance program (LIHEAP) supports the commonwealth's energy assistance program. The application determines eligibility for program coverage, generates payments to energy providers, and maintains historical data. *AGY - After Case Closure	B	No	7Y	7Y	6
00002009	Federal Income Intercept Program Intercepts federal income tax refunds, social security administration benefits, federal retirement, and federal payroll due to the commonwealth as a result of food stamp overpayments.	B	No	7Y	7Y	6
00002010	Recovery Mangement System This system provides accounting, tracking, and client notification services in regard to cash, food stamp, and medical overpayment claims.	B	No	7Y	7Y	6
00002011	Third Party Liability - Medicaid Clients Client information system (CIS) third party liability (TPL): maintains third party liability information pertaining to the commonwealth's Medicaid clients. It contains information regarding other sources of health coverage available for clients.	B	No	4Y	4Y	6
00002012	Commonwealth of Pennsylvania Application for Social Services Commonwealth of Pennsylvania application for social services (COMPASS) is an internet application that allows business partners and citizens to apply for social services. *AGY - After Case Closure	B	No	6Y	6Y	6

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00002013	Guardian Office Accounting System Accounting system for handling the financial transactions for state mental health/mental retardation patients declared incompetent by the court system. * AGY - Kept 5 years after death or transferred to new guardian if established by court.	B	No	5Y	5Y	6
00002014	Mental Health/Mental Retardation - Cost Apportioning This system gives accountants from MH/MR facilities an automated uniform method (direct allocation) for apportioning costs to defined levels of care.	B	No	7Y	7Y	6
00002015	Office Children Youth - Billing System Billing system for youth development centers. Commonwealth bills counties for care of youth residing there, based on determined costs for each youth development center.	B	No	6Y	6Y	6
00002016	Legal Services - Litigation Tracking System Litigation tracking system tracks requests for redetermination sent to the secretary's office for final determination.	B	No	5Y	5Y	6
00002017	Medicare Bad Debt - Federal Reimbursement Medicare bad debt system - Commonwealth bills federal government for reimbursements of co-insurance and/or deductibles that indigent patients are unable to pay. Commonwealth is reimbursed a portion of deductibles.	B	No	4Y	4Y	6
00002018	Patient Client Information System This system captures and maintains demographic and census information on residents in a state mental facility. * AGY - 50 years after inactive.	B	No	50Y	50Y	6
00002019	Community Residential Facility This application tracks demographic data on clients who reside in a residential facility. Provides statistical information on clients receiving services from office of mental retardation.	B	No	4Y	4Y	6
00002020	Fact (Facility Client Tracking System) This system tracks demographic, diagnostic, and census information on clients who reside in state mental retardation facilities.	B	No	4Y	4Y	6

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00002021	Operations - Operations Logs Used by office of information systems and program offices to maintain computer operations logs, input special requests for services, etc.	B	No	4Y	4Y	6
00002022	Executive Office Correspondence Tracking System Tracks correspondence sent to DPW office of the secretary.	B	No	10Y	10Y	2
00002038	electronic Client Information System (eCIS) The web based electronic client information system supports the department's automated eligibility determination and benefit computation processes. It is the central repository for individual demographic and eligibility information pertaining to the department's welfare clients. *AGY - After Case Closure	B	No	7Y	7Y	6
00002039	Bureau of Human Resources County Complement The application provides the tools required for Bureau of Human Resources County Program staff to perform reporting tasks required as the liaison between local county government agencies and the State Civil Service Commission (SCSC).	B	No	80Y	80Y	6

Agency: 021 Human Services
Bureau: 2143201000 Division of Enterprise Applications

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
0000031 A	BIS - Assistance Payments Financial Records (Orig Film)	A	No	5Y	7Y	1
0000031 B	BIS - Assistance Payments Financial Records (DUPL Film)	A	No	5Y	7Y	1
00000351	Bis - Computer Program Work Papers	1	No	1Y	7Y	1
	* AGY - After completion of program development.					
00000356	Rsrch & Dvlpmnt Files Re: Data Proc Eqpmnt	1	No	0Y	0Y	1
	* AGY - Destroy aftr new mtrl recd.					
00000552	Med.Asst. Serv. (MAMIS) Invoice Files	1	No	1Y	7Y	1
00000552 A	Med.Asst. Serv. (MAMIS) Invoice Files (Orig Film)	A	No	7Y	7Y	3
00000678	BIS - Development Of Information System	1	No	7Y	7Y	3
	* AGY - After person or org. No longer involved.					
00000852 A	Cpu Systems Reports (Orig Microfilm)	A	No	2Y	7Y	1
00000852 B	Cpu Systems Reports (Dupl Microfilm)	A	No	2Y	2Y	1
00000949 C	BIS - Quar. Sys. Stat. Repts. (Diskettes)	B	No	0Y	0Y	1
	* AGY - Until superseded.					
00000951	BIS - Food Stamp Issuance Extract Reports	1	No	1Y	3Y	1
00000952	BIS - User's Systems Reports	1	No	0Y	0Y	3
	* AGY - Until system is revised or replaced.					

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000953	BIS - Computer Program Work Packs	1	No	1Y	7Y	1
	* AGY - After system is phased out.					
00002002	Client Information System (Cis) Cash & Food Stamps	B	No	7Y	7Y	6
	The client information system supports the departments automated eligibility determination and benefit computation processes. It is the central repository for individual demographic and eligibility information pertaining to the departments welfare clients.					
	*AGY - After Case Closure					
00002024	Medical Assistance Management Information System - Claims Processing	B	No	5Y	5Y	6
	The application supports the claims processing for fee-for-service claims and managed care capitation payments.					
00002025	Office Of Medical Assistance Programs/Business Partner Information	B	No	5Y	5Y	6
	The application supports office of medical assistance programs from medicaid information available via internet browsers to both staff and business partners.					
00002026	Office Of Medical Assistance Programs - Audit & Review	B	No	4Y	4Y	6
	The application supports the auditing and review functions from medicaid information.					
00002027	Third Party Liability - Medicaid	B	No	4Y	4Y	6
	This application supports the recovery and tracking of dollars being recovered from Medicaid providers and individual recipients.					
00002028	Surveillance Utilization And Review System	B	No	4Y	4Y	6
	The application supports the fraud and abuse auditing / reporting process for the bureau of program integrity.					

Agency: 021 Human Services
Bureau: 2143401000 Division of Infrastructure Management And Operations

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000531	Bis - Computer Program & Data Tape Files	1	No	7Y	7Y	1
00000852	Cpu Systems Reports	1	No	0Y	0Y	1
	* AGY - Until output no longer needed by user.					
00000852 C	Cpu Systems Reports Computer Tapes	B	No	3M	3M	1
00000853	Console Logs,Secure Lists,Tape Library Hstry	1	No	1M	1M	1
00000853 A	Console Logs,Secure Lists,Tape Library Hstry Orig Film	A	No	2Y	2Y	1
00000936	On-Line Magnetic Disk File	1	No	0Y	0Y	1
	* AGY - Until replaced with new information.					
00000937	Bis Disaster Recovery Documentation	1	No	999Y	999Y	1
00000938	BIS Food Stamp Balancing Reports	1	No	3Y	3Y	3
00000939	Mainframe Operating Instructions	1	No	999Y	999Y	1
00000940	Bis Audit Rpts. & Related Corres. File	1	No	0Y	0Y	3
	* AGY - After final & complete resolution of audit.					
00000941	Security Documentation	1	No	999Y	999Y	3

Agency: 021 Human Services
Bureau: 2143601000 Division of Technology Engineering

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000164	Telep Comm File, Wrk Ordrs, Corr & OA-522	1	No	1Y	1Y	1
00000407	BIS - Check Registers	1	No	0Y	6Y	1
	* AGY - Till end of hosp. Fiscal yr. Then film.					
00000407 A	Bis - Check Registers (Orig Film)	A	No	7Y	7Y	3
	* AGY - Retain at park penn or willow OA k building.					
00000407 B	Bis - Check Registers (Dupl Film)	A	No	7Y	7Y	3
	* AGY - Retain at eisenhower site.					
00000408	Treasury Bureau Investigations	1	No	3M	3M	3
	* AGY - After problem is resolved.					
00000735	Floor Plan File	1	No	3Y	5Y	1
00000954	BIS - Terminal Equip. Serv. Requests	1	No	5Y	5Y	1
00000955	Rqsts For Telcom. Serv. To Tel. Co. Vendors	1	No	5Y	5Y	3
00000956	BIS - Voice/Telecom. Projects	1	No	0Y	0Y	3
	* AGY - Until replaced with updated information.					
00000957	BIS - Radio Files	1	No	4Y	6Y	1
00000958	BIS - Station Message Detail Records	1	No	1Y	1Y	3
00000959	BIS - Automated Billing System	1	No	1Y	1Y	1

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000960	BIS - Bell Tel. Panet Charges	1	No	1Y	1Y	1
00000962	Bis - Security System Records	1	No	18M	18M	3
00000963	BIS - Data Management Documentation	1	No	0Y	0Y	1
	* AGY - Until replaced by new information.					
00000964	BIS - Mapper System Documentation	1	No	0Y	0Y	1
	* AGY - Until replaced by new information.					
00000965	BIS - Electronic Data Eq. Records	1	No	5Y	5Y	3
	* AGY - After disposal of applicable equipment.					
00000966	BIS - Sys. Statistics On Daily Activity	1	No	1M	1M	3
00000967	BIS - Network & Host Monitoring Reports	1	No	1Y	1Y	1
00002023	Department Of Public Welfare's (DPW) Enterprise Data Warehouse	B	No	4Y	4Y	6
	Stores historical data from various DPW operational systems. Generates management reports for use by program offices within DPW.					

Agency: 021**Human Services****Bureau: 2144001000****Press And Communications Office**

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000974	Press Clippings	1	No	4Y	4Y	1
00000975	DHS News Releases	1	No	8Y	8Y	2
00000976	Communications Office Background Corresp.	1	No	4Y	4Y	1
00000977	Communications Off. Org. Gen. Corresp.	1	No	2Y	2Y	1

Agency: 021 Human Services
Bureau: 2145001000 Office of Client Services

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000927	Client Rights - Director's Office	1	No	5Y	5Y	2
00000928	Client Rights - Administration	1	No	7Y	7Y	1
00000929	Client Rights - Clnt. Rep. Prog. - General	1	No	5Y	5Y	1
00000930	Client Rights - Complaints & Investments	1	No	7Y	7Y	3
00000931	Client Rights - Ed. & Training	1	No	5Y	5Y	1
00002040	Children's Health Insurance Program Application Processing System (CHIP)	B	No	7Y	7Y	6
	<p>Application used to determine eligibility of applicants to the Children's Health Insurance Program (CHIP) and to store information about enrollees. The crucial data captured includes applicant and family information such as daycare expenses, ethnicity, citizenship, family size and income, car insurance information, disability of family members, health insurance information, marital status, disability and pregnancy information. This data exists in the CHIP schema in both the Online Transaction Processing (OLTP) and Electronic Data Warehouse databases.</p>					

Agency: 021 Human Services
Bureau: 2145001902 Guardianship Program

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000933	Guardianship Program-Fiscal/Financial Includes financial information received monthly related to the Guardianship Program. Records may include, but are not limited to adjustments, receipts, bank statements, Client Account Withdrawal Orders, check stubs, reconciliations, voided checks, quality of life reports, and various financial reports. The financial files are maintained in the Guardianship Program field offices. *AGY - Retain 3 years after File is closed.	1	Yes	3Y	3Y	3
00000934	Guardianship Program - Facility Guardian Office Files Includes client information received related to the Guardianship Program. Client records may include, but are not limited to facility admission sheets, consent forms, capacity determination forms, burial funds, insurance policies, court orders, annual and final reports, benefit correspondence, and tax forms. The client files are maintained in the Guardianship Program field offices. *AGY - Retain 3 years after File is closed.	1	No	3Y	3Y	3

Agency: 021 Human Services
Bureau: 2145001903 Chaplaincy Services

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000505	Gen Files, Chpln's Off, Prg File Dpw & Just	1	No	0Y	0Y	1
	* AGY - Destroy when outdated, superseded.					
00000506	Corr File, Chpln's Off, Mins, Mtrls, Ref Dat	1	No	2Y	7Y	1
00000507	Prsnnl Actn Files, Job Descrptns	1	No	0Y	0Y	1
	* AGY - Destry whn new job descrptn wrttn or obsolt.					
00000509	Inmt/Pat/Rsdnt Rcds, Indvls Refrd To Dpw Chap Off	1	No	3Y	7Y	1
00000510	Prsnnl File Fldrs, Volntrs/Non-St	1	No	1Y	1Y	1
	* AGY - After inactive.					
00000511	Instl Files, Chaplncy Rltd Progs	1	No	0Y	0Y	1

* AGY - Destry when no longer required.

Agency: 021 Human Services
Bureau: 2146101000 Bureau of Budget

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000759	Mamis Budget Computer Records	1	No	2Y	17Y	1
00000760	MAMIS/MARS Budget Backup Records - Computer	1	No	2Y	7Y	1
00000760 A	MAMIS/MARS Budget Backup Records - Fiche	A	No	2Y	17Y	1
00001166	FO - B General Correspondence	1	No	0Y	0Y	1
	* AGY - Retain for as long as necessary.					
00001332	Budget Files	1	No	10Y	10Y	1
00002037	Job Accounting	B	No	7Y	7Y	6
	This job accounting application captures DPW mainframe, SER vers, and printer utilization for state and federal funding. Reports for internal use.					
	* AGY - DPW retention schedule requires 7 years retention, however, all reports have been maintained since application was developed in 1982.					

Agency: 021 Human Services
Bureau: 2147001000 Office of Legislative Affairs

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000226	Legis Ref Files, Corres & MatrIs Re: Leg Bls & Acts Affctng Admin &Opns Dpw	1	No	2Y	12Y	1
00000903	Federal And State General Correspondence	1	No	2Y	2Y	3
00000904	Federal Relations	1	No	4Y	4Y	1
00000905	State Relations	1	No	4Y	4Y	1

Agency: 021 Human Services
Bureau: 2148001000 Chief Counsel

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000385	Court Litigatn Cases - Paper	1	Yes	1Y	8Y	1

Non-BHA agency litigation.

Exception granted from G004.001 Litigation Files.

* AGY - After case closes.

00000387	Admin Files, Legl Counsel Paprs Reltng To Dept Progs	1	No	2Y	7Y	1
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Agency: 021 Human Services
Bureau: 2149001000 Office of Policy Development

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000727	Bred - Commumnity Work Exp. Prog. (CWEP)	1	No	0Y	15Y	1
00000800	Administrative/Operations File	1	No	2Y	4Y	2
00000810	Operations File	1	No	2Y	4Y	2
00000811	Regulations File	1	No	1Y	4Y	1
	* AGY - After publication.					
00000812	Hum. Serv. Plan. Syst. Tech. Asst. Contracts	1	No	2Y	7Y	2
00000813	Dpw Plan File	1	No	2Y	4Y	2
00000814	Information Resource Center File	1	No	0Y	0Y	2
	* AGY - Reviewed annually.					
00000815	County Planning Data Kit & County Profiles	1	No	1Y	11Y	1
00000816	Research,Demonstration & Evaluation Project File	1	No	1Y	5Y	2
	* AGY - After research & evaluation complete.					
00000819	Publication File	1	No	1Y	5Y	1
00001038	Bred - Committees	1	No	1Y	8Y	1
00001040	Bred - Input Bl/Bks. Cntrs. & Proposals	1	No	0Y	7Y	1

* AGY - Until contract completion.

Agency: 021 Human Services
Bureau: 2150101000 Dep Sec For MH & Substance Abuse Svsc

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000121	Deprtn Case Files, Corr & Rpts Re: Trnsfr Of Mh Pats To & From Pa	1	No	5Y	5Y	1
00000123	Gen Corr, Dep Commnrs Off, Corr Re: Opns Of Off MH	1	No	2Y	2Y	1
00000124	Brds/Commtee Mtgs Files,Rpts/Mins/Corr Re: MH Prgms	1	No	0Y	0Y	2
	* AGY - Retain as long as required.					
00000125	Mh Brds Of Trstees Files, Mins Of Mtgs	1	No	1Y	1Y	1
00000129	Gen Corr, Routn Corr + Supp Data Re: Daily Opns Of Bureaus In Omh	1	No	2Y	2Y	1
00000130	St Supvd Inst-Hist Files (Aft Clsur), Corr, Prts ,Invstgtns, Licensure	1	No	2Y	2Y	1
00000139	Gen Corr-Comnty Mh Svc, Corr, Rpts, Dcmnts Re:Mh Orgnztns Pertn Mhsvcs	1	No	2Y	2Y	1
00000160	Med Invstgtn Rpts Re: Chrgs Agnst Prtcpts In Pub Asst Med Prgms	1	No	4Y	10Y	1
00000194	Annl Statstcl Rpts, Mh Rpts Re: Movement Of Patients	1	No	6Y	20Y	2
00000302	Cmprhnsv MH/MR Plng Mtrls-Task Frc Rpts, Regnl Rpts & Corr	1	No	2Y	7Y	1
00000349	Cty Oprtns File MH/MR Unit-Annl Fldrs Of Cty MH/MR Actvs	1	No	1Y	5Y	1

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000469	Comprehensive Mental Health Planning Files	1	No	6M	5M	1
00000676	Institutional Liability Abatemnt Review File	1	No	3Y	5Y	1
00001377	Mental Health Outpatient Provider Reviews	1	No	1Y	4Y	1
	* AGY - After aDJudicatn or decision not to process.					
00001378 A	Mental Health Outpatient Provider Case Files	A	No	4Y	4Y	3
	* AGY - After aDJudication or decision not to process.					
00001379	Mental Hlth Sumry Of Outpatient Provider Rev	1	No	7Y	7Y	3

Agency: 021 Human Services
Bureau: 2152501000 Bur of Financial Mgmt & Administration

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000126	Bdgt Files, Corr/Docmnts/Rpts Re: Bdgts Omh	1	No	2Y	2Y	1
00000131	Rpts Files-Bdgt Rpts, Stat Rpts, Fld Visit Rpts & All Corr	1	No	2Y	2Y	2
00000140	Grnt Files-Corr, Dcmnts, Rpts, Bdgts Re: Oprtg Costs Comnty Mh Facs & Svcs	1	No	2Y	4Y	1
00000188	Hist Files-St Mntl Hosps (Aft Clsg)	1	No	2Y	12Y	2
00000348	Annl Plan/Estmt For MH/MR Unit-Detl Rpt, Pln Expndtr Of Cty MH/MR Prgms	1	No	3Y	5Y	1
00000564	Mental Hlth Liability Abatement Review Files	1	No	3Y	4Y	1
00000917	Hsptl. Serv. Gen. Corres. Frm St. Mnt. Hosp.	1	No	4Y	4Y	1

Agency: 021 Human Services
Bureau: 2152501282 OMHSAS-BFM&A - Division of Medicaid & Finance

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001458	RTF (Residential Treatment Facilities) - Cost Reports	1	No	3Y	8Y	1

The records are filed alphabetically by facility and contain Joint Financial Schedules for residential treatment facilities, which are required for annual reporting and utilized for rate setting reviews, statistical data, etc.

Agency: 021 Human Services
Bureau: 2153001000 Bureau of Program & Policy Development

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000908	Mental Health Program Contract Files	1	No	5Y	5Y	3
00000909	Mental Health Program Budget Files	1	No	5Y	5Y	1
00000910	Mental Health Liaison To Off. Info. Systems	1	No	7Y	7Y	1
00000911	Forensic Services - General Correspondence	1	No	5Y	5Y	3
00000912	Farview & Secure Unit Files	1	No	10Y	10Y	3
00000913	Children & Youth Services' Grant	1	No	7Y	7Y	1
00000914	Est. Schl. Hosp. & Child. & Adol. Unit Files	1	No	10Y	10Y	3
00000915	Child. & Youth Serv. Gen. Correspondence	1	No	3Y	3Y	2
00000916	Child. & Youth Serv. Intdpt. Committee Files	1	No	5Y	5Y	3

Agency: 021 Human Services
Bureau: 2159001000 Bureau of Quality Management & Data Review

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000766	Approval/Denials for Patients - Accredited Providers Letters, including supporting charts and documents, to accredited providers and recipients approving or denying time spent in provider facilities. * AGY - Records are subject to the 6 year record retention requirement by HIPAA regulations 45 CFR 164.530 (j) (2).	1	No	6M	6M	1
00001017	Licensing Files - Community Mental Health Facilities These files are maintained in OMHSAS field offices that are supervised by the Bureau of Operations and Quality Management. These files contain information of community mental health facilities and programs. These programs include the following; Inpatient Units in community general hospitals, private psychiatric hospitals, outpatient psychiatric clinics, long-term structured residences, residential treatment facilities for adults, partial hospital programs, community residential rehabilitation programs, family-based services, crisis intervention programs, psychiatric rehabilitation services. These files include PW 633 and PW 68 forms, Certificate of Compliance and cover letter, civil Rights Compliance and checklists and letters, licensing checklists and summary reports, statement of deficiencies and plans of correction, surveyor notes, incident/complaint reports, and all related information. * AGY - After closure. ** Maintain in Agency for 5 years if closed under adverse conditions.	1	Yes	2Y	2Y	3
00001420	Outpatient Services (Behavioral Health)-Authorization Requests The files contain MA-97 forms, Outpatient Services Authorization Request, which are submitted to the Office of the Medical Director to Support the Client's need for behavioral health-related medical services.	1	Yes	1Y	7Y	1
00001461	Omnibus Budget Reconciliation Act (OBRA) Nursing Facility Preadmission Screening Files (PASSAR) These are medical charts for the Office of Mental Health & Substance Abuse (OMHSAS) that contain decision letters regarding nursing home placement for clients with mental health diagnoses. These letters are a requirement of the federal government that the Office of Mental Health and Substance Abuse determine whether a mental health client is appropriate for placement in a nursing home. *AGY - Retain for the calendar year.	1	No	1Y	4Y	1

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00002050	Enterprise Incident Management (EIM), Office of Mental Health and Substance Abuse Services (OMHSAS) - Complaint EIM is a comprehensive, secure web-based incident and complaint reporting system that provides the capability to record and track incidents, track/trend incident data for quality improvement activities and record participant complaints linking them to incidents as needed. EIM-OMHSAS is comprised of incidents pertaining to persons with a mental illness, autism and/or addictive diseases. Records include the complaints of dissatisfaction with program operations, activities or services received or not received involving OMHSAS. *Agency - Retain 10 years after complaint closure.	B	No	10Y	10Y	6
00002051	Enterprise Incident Management (EIM), Office of Mental Health and Substance Abuse Services (OMHSAS) - Incident EIM is a comprehensive, secure web-based incident and complaint reporting system that provides the capability to record and track incidents, track/trend incident data for quality improvement activities and record participant complaints linking them to incidents as needed. EIM, OMHSAS is comprised of incidents and complaints concerning a person with mental illness, autism and/or addictive diseases or an event occurring at a mental health facility or by a provider. Records include OMHSAS critical incidents concerning an individual. *Agency - Retain 10 years after incident closure.	B	No	10Y	10Y	6
00002052	Enterprise Incident Management (EIM), Office of Mental Health and Substance Abuse Services (OMHSAS) - MCI and NON-MCI Individual EIM is a comprehensive, secure web-based incident and complaint reporting system that provides the capability to record and track incidents, track/trend incident data for quality improvement activities and record participant complaints linking them to incidents as needed. EIM, OMHSAS is comprised of incidents pertaining to a person with mental illness, autism and/or addictive diseases. Records relate to the individuals listed in the Master Client Index (MCI) and the Non-MCI individuals not listed in the MCI. *Agency - Retain 25 years after case closure of MCI or Non-MCI individual.	B	No	25Y	25Y	6

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00002060	Home and Community-based Services Information System (HCSIS), Office of Mental Health and Substance Abuse Services (OMHSAS)	B	No	7Y	7Y	6

HCSIS is a secure web-enabled information system which manages information regarding participants and providers of Home and Community-Based Services waiver services. HCSIS will collect and maintain demographic data related to consumers and service providers, determine and maintain a standardized individual service plan, improve the provider billing process, maintain consumer privacy in a secure technical environment, maintain high quality data for reporting processes, and serve as a centralized repository for notes specifically relating to services that consumers receive through ODP waivers and programs. HCSIS, OMHSAS provides services to persons who need mental health and substance abuse services. Records in HCSIS include documentation of persons receiving services and the providers whom provided services.

*Agency - Retain 7 years after case closure.

Agency: 021 Human Services
Bureau: 2159601000 Bureau of Hospital Operations

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001016	MH - Community Hlth Complts/Inqs/Casework	1	No	4Y	4Y	3
00001018	MH - Pol/Proc. For Each Lic. Com. Mntl Hlth	1	No	999Y	999Y	1

Agency: 021 Human Services
Bureau: 2160101000 Dep. Sec For Children, Youth & Families

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
0000082	General Corres: Deputy Secretary's Office	1	No	2Y	4Y	2
0000097	Annl Statstcl Rpt Files, Incls Var Statstcl Summaries & Rpts	1	No	3Y	3Y	1
0000169	Hist Files, Child Welf Insts	1	No	10Y	20Y	2
0000554	Administrative Files	1	No	2Y	7Y	1
0000747	Foster Care Title IV-A Court Settlement	1	No	6M	66M	1
0000752	Community Reintegration Project Case Records	1	No	20Y	20Y	3

Agency: 021 Human Services
Bureau: 2161001000 OCY&F - Bureau of Policy, Programs and Operations

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001426	Foster Parent Grants DPW gives grants to the foster parent association (or equivalent) for the purpose of carrying out foster parent administration activities in the state.	1	No	3Y	6Y	1
00001427	Drug And Alcohol - Multidisciplinary Team This initiative will establish teams thru county AG encies to review drug and alcohol family case plans. The files will contain implementation records, correspondence between the bureau and grant recipients, a request for proposal for each year, ocyf semi-annual staus reports, grant AG reements, descriptions of programs established thru the initiative, history of the family to family program.	1	No	3Y	6Y	1
00001429	Parent To Parent Initiative This is a parent to parent peer support group for parents of children with disabilities. The files consist of grant AG reements, quarterly reports, budget information, correspondence, history of program, and requests for proposals.	1	No	3Y	6Y	1
00001430	Statewide Adoption Network (SWAN) Program The swan initiative focuses on building a network of public and private AG encies to expedite the adoption of children in county custody. The files contain grant and contract papers, reports, and correspondence.	1	No	3Y	6Y	1
00001431	Pennsylvania Adoption Exchange The Pennsylvania adoption exchange was established to assist AG encies in finding adoptive homes for children and to find adoptive parents. The files contain forms CY130, child registration, cy131, adoptive applicants, cy890, swan eligability report/updates and photographs and correspondence. The records may contain client names and Social Security numbers and other personal data. Under hipaa privacy regulations, they will remain confidential. * AGY - After closure.	1	No	3Y	6Y	1
00001432	Adoption Medical History Registry (AMHR) The AMHR was set up so that both natural parents can file family history information which can be passed on to adoptees at their request. The files contain form CY910, adoption medical history register, adoptee requests, birth verification information, and correspondence. The records may contain client names and Social Security numbers, medical information and other personal data. Under hipaa privacy regulations, they will remain confidential.	1	No	100Y	100Y	3

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001434	Family Service System Reform (FSSR) The FSSR initiative was developed to assist local communities to IDentify and provide needed services to children and families. This is achived through collaboration between existing services and ensures that services are not missed or duplicated. The files contain correspondence between ocyf and FSSR coordinators, requests for proposals, ocyf semi-annual staus reports (1 for each of the 6 outcome ares), grant AG reements, descriptions of the services delivered through the initiative and memos.	1	No	3Y	6Y	1
00001435	Foster Parent Registry (FPR) / Adoptive Parent Registry This registry is used to insure that parent applicants have not been previously determined to be deficient while participating in any of the covered programs. AG encies file a form cy-881, foster care applicant registration form, to determine an applicants background or to update the register for new applicants or change their status. The files contain cy-881's and correspopndence. The records contain clients names and Social Security numbers, and other personal data. Under HIPAA privacy regulations they will remain confidential.	1	No	80Y	80Y	3
00001436	Family Centers (FC) The family center initiative integrates and provides (under one roof) community services to help families become healthy, well educated and self sufficient. Currently, there are 49 family centers funded either fully or partially with state dollars. Additionally, there are over 70 satellite centers. Currently, 30 counties receive fc grants and the intent is to SER ve all 67 counties in pa. Many counties have multiple grants. Information is needed on each family center and each satellite of the family center. The files contain correspondence between OCYF and FC directors, requests for proposals, ccyf semi-annual status reports, grant AG reements, description of services delivered, budget revisions and memos.	1	No	3Y	6Y	1

Agency: 021 Human Services
Bureau: 2161011000 Division of Program Planning & Development

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001440	Health Choices: Physical & Behavioral Health Files	1	No	1Y	8Y	1

The purpose of the series is to compile historical information regarding Health Choices Managed Care. Records include originals and copies. Many of the records are located in the Office of Medical Assistance Programs. Files include forms, memos, RFP's, county specific documentation, work group information, contractor and provider agreements. Used for reference when completing implementation in other Health Choices Regions. Material specific to implementation is RFP's, reconciliation records, Letters of Agreements and contractor agreements.

Agency: 021 Human Services
Bureau: 2161012000 Division of State Services

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000394	Child Abuse Recs & Rltd Corres & Matrls	1	No	0Y	0Y	3
	* AGY - Until child reaches 18th birthday.					
00001123	CYF - SOCP General Correspondence	1	No	0Y	0Y	1
	* AGY - Retain as long as required.					
00001397	Child Abuse Report - CY 48	1	No	0Y	0Y	3
	* AGY - Until child reaches AG e 23.					

Agency: 021 Human Services
Bureau: 2161012882 OCY&F-BPPO-Division of Operations-Interstate Compact Unit

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000088	Interstate Compact Case File (After Closing)	1	No	1Y	2Y	1
00000103	Interstate Case,Adoptions,Foster & Related Care	1	No	1Y	2Y	1
	* AGY - After closing.					
00000256	Importation Case-Independent & Intercounty Adoptions	1	No	1Y	2Y	1
00001443	Interstate Compact on Adoption & Medical Assistance	1	No	2Y	3Y	1
	Files are maintained on juveniles from other states that are eligible and receiving Medical Assistance. The files include various forms including; CY-124 Verification of Title IV-E Eligibility, CY-966, Instructions for completing ICAMA form 6.01 CY-967 ICAMA form 6.02 Notice of Action CY-968, ICAMA form 6.03, Reporting of Change indicating Child /family status. Also included will be adoption assistance agreements along with correspondence and letters to adoptive parents and agencies.					

Agency: 021 Human Services
Bureau: 2165001000 Bureau of Juvenile Justice Services

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000263	Log Books, Intake & Release Ledgers	1	No	0Y	0Y	2
	* AGY - Retain as long as required.					
00000264	Receipts, RK 55, Revenue From Counties	1	No	7Y	7Y	1
00000265	Summary, CY55 Maintenance Changes	1	No	7Y	7Y	1
00000266	Inmate Cash Fund Ledger Cards	1	No	7Y	7Y	1
00000267	Billing Form, YDC County Cy35	1	No	7Y	7Y	1
00000268	Commissary Records, Youth Development Centrs	1	No	7Y	7Y	1
00000269	Funds, WS15 Order On Patients For Inmts Fund	1	No	7Y	7Y	1
00000270	Financial Report, RIC 19C	1	No	7Y	7Y	1
00000271	Accts Rcvbl, Rimf 2G Cnty, Poor Dsts	1	No	4Y	4Y	1
00000272	Stock Ledger Card - YDC (Red)	1	No	4Y	4Y	1
00000273	Stock Issue Record - YDC (YELLOW)	1	No	4Y	4Y	1
00000274	Inventory Control Card, DPW10	1	No	4Y	4Y	1
00000275	Plant + Building Expense PW-2A	1	No	4Y	4Y	1

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000276	Surplus Stores Or Equipment Transfer PW353	1	No	4Y	4Y	1
00000277	Maintenance Charge, Superintendant Rpt PW472	1	No	4Y	4Y	1
00000278	Inventory, Stores, Annual Pw527	1	No	4Y	4Y	1
00000279	Requisition Store OA 274D	1	No	4Y	4Y	1
00000280	Stores, Monthly Report ST670	1	No	4Y	4Y	1
00000281	Requisition, Institutional Supplies	1	No	1Y	1Y	1
00000303	Student Case Files Of Trainees	1	No	5Y	5Y	1
00000304	Enrollment Cards, Student (Pres + Dischgd)	1	No	10Y	10Y	1
00000305	Court Commitment Records	1	No	6M	6M	1
00000306	Institution Ex Board Minutes + Resolutions	1	No	999Y	999Y	1
00000717	Patient//Resident Case File	1	No	6Y	6Y	1
00001019	YDC - Asbestos Med. Monitor & Abate. Records	1	No	30Y	30Y	3
	* AGY - Or until microfilmed.					
00001019 A	YDC - Abes. Med. Monit. & Abatem. (Orig Film)	A	No	30Y	30Y	3

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001019 B	YDC - Abes. Med. Monit. & Abatem. (Dupl Film)	A	No	0Y	0Y	3
	* AGY - Retain as needed.					
00001019 C	X-Rays Assoc. W/Ydc Abes. Mont. & Abatem.	1	No	30Y	30Y	3
00001111	CYF - OSFFDY General Correspondence	1	No	0Y	0Y	1
	* AGY - Retain for as long as needed.					
00001112	CYF - Scu Ref. Pckgs. Placmt. Of Delq. Yth.	1	No	1Y	1Y	3
	* AGY - After date of last entry.					
00001113	CYF - SCU General Correspondence	1	No	0Y	0Y	1
	* AGY - Until superseded.					
00001114	CYF - YDC General Correspondence	1	No	5Y	5Y	1
00001115	CYF - YDC Youth/Resident Records	1	No	5Y	5Y	3
	* AGY - After inactive or 3 yrs. After majority.					
00001116	CYF - YDC National School Lunch Program	1	No	6Y	6Y	1
00001117	CYF - YDC Controlled Maintenance Program	1	No	1Y	1Y	1
00001118	CYF - YDC Patient Canteen Records	1	No	0Y	0Y	3
	* AGY - After fiscal period or AG audit per STD-56.					
00001121	CYF - YDC Canteen Operational Records	1	No	1Y	1Y	3
	* AGY - After AG audit.					
00001122	CYF - YDC Youth/Resident Record History File	1	No	10Y	10Y	3

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001143	CYF - YDC Staff Training Programs	1	No	0Y	0Y	1
	* AGY - Retain as long as needed.					
00001373	Accreditation Records	1	No	7Y	7Y	3
	* AGY - After superseded.					

Agency: 021 Human Services
Bureau: 2169001000 OCY&F - Bureau of Budget & Fiscal Support

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001167	OCYF - AS - Telecommunications Files	1	No	2Y	2Y	1
00001168	CYF - AS - Research Files	1	No	0Y	0Y	3

* AGY - Retain for study purposes.

Agency: 021 Human Services
Bureau: 2169091000 Division of Program Compliance & Fiscal Management

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000392	Payments To County Child Welfare Programs	1	No	3Y	6Y	1
00000392 A	County Child Welfare Quarterly Invoices	A	No	10Y	10Y	1
00001415	Random Moment Time Study	1	No	15M	10M	1

Agency: 021 Human Services
Bureau: 2169094000 Division of Information Systems

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00002029	Administration For Children & Families (ACF) 801 Automated/manual system that reports sample data records from the office of income maintenance and the child care information systems into a format that can be used for the administration for children and families - United States department of health and human services.	B	No	4Y	4Y	6
00002030	Adoption And Foster Care Analysis & Reporting System Satisfies federal mandate which requires the state to submit foster care and adoption data on children within the state. Information collected includes data for both adoption and foster care records: demographic data on children and families, date of birth, race, AG e, sex, disabilities, adoption status, abuse and neglect data, reason for removal from home, parental rights, and types of federal supplied financial aid.	B	No	4Y	4Y	6
00002031	Child Care Information System Child care information service (CCIS) AG encies offer parents a resource and referral service to connect them with child care arrangements in their communities. CCIS AG encies can also inform parents about whether they are eligible for help paying their child care bills. CCIS tracks these AG encies and also tracks payments made to approved providers for child care.	B	No	4Y	4Y	6
00002032	Pennsylvania Child Welfare Information System Pennsylvania child welfare information system is a county based - State controlled automated case management system for children in need of protective services or victims of child abuse or negletc. Information collected is child and family demographic data, includes incidents and investigations, adoption information, risk assessment and family service plans offered. * AGY - If accusation is unfounded, retain 1 year plus 120 days then expunge. If founded, retain until victim reaches AG e 23 years then expunge except create a sub-file with the IDentification of the perpetrator(s) which shall be retained in perpetuity.	B	No	0Y	0Y	6
00002033	Needs Based Budget System County based automated system to track counties needs for the fiscal year. Tracks county child welfare programs and expenditures reported to support those programs. Reporting is required for current spending and future budget projections.	B	No	4Y	4Y	6

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00002034	<p>Pennsylvania Adoption Exchange System (PAE)</p> <p>State based automated system that tracks children available for adoption services with various adoption AG encies. Information collected: photographs of children, brief description of children, available status, and other demographics. Start up date 1985 for PAE.</p>	B	No	50Y	50Y	6
00002035	<p>Pennsylvania Emergency Assistance Program System (Peaps)</p> <p>County based, automated system to track funding. Information collected: demographics of child, name, AG e, sex, date of emergency assistance activation.</p>	B	No	4Y	4Y	6
00002036	<p>State Wide Adoption Network (SWAN)</p> <p>Federal based automated system that tracks children available for adoption services with various adoption AG encies. Information collected: photographs of children, brief description of children, available status, and other demographics. Program start up dated 1992.</p>	B	No	50Y	50Y	6

Agency: 021 Human Services
Bureau: 2170101000 Deputy Secretary For Administration

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000425	General Correspondence	1	No	3Y	3Y	3

The files contain correspondence, reports, surveys, studies, and related materials concerning the operations of the Deputy Secretary for Administration.

Agency: 021 Human Services
Bureau: 2171001000 The Bureau of Human Resources

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000166	Gen Corr Files-Routn Dly Corr Re: Prsnl Mats	1	No	1Y	1Y	1
00000168	Emplye Appl Files-Trnscrpts Of Appls W/Adjcs	1	No	3Y	6Y	1
00000255	Orgnztn & Hist Of Bur Of Prsnl	1	No	5Y	30Y	2
00000436	Profsnl Educ Prgm Files Re: Studnts Partcptg Or Committed To Prog	1	No	1Y	5Y	1
00000437	Files Reltg To Clms-Lv W/O Pay To Enrlees In Pro Educ Prgm-Rclds Notused Cs	1	No	2Y	6Y	1
00000438	Corr Files Reltg To Rejctns	1	No	1Y	1Y	1
00000439	Corr Files Of Info Nature	1	No	1Y	1Y	1
00000440	Tuitn Reimbrsmt & Specld Course Trng Files	1	No	1Y	3Y	1
00000441	Corr Reltg To Specld Course Training	1	No	1Y	1Y	1
00000442	Physcns Annl Recgntn Awrds Files-Trng-Corr Re:Partcipnts,Courses,Crdt	1	No	1Y	3Y	1
00000534	Labor/Management Files	1	No	3Y	3Y	2

Agency: 021 Human Services
Bureau: 2171012000 The Bureau of Human Resources - Division of Human Resources Planning & Analysis

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
0000167	Statstcl Rpts-Prsnl Complmnt Off & Insts	1	No	1Y	1Y	1
0000234	Exit Intrvws PW277 Ea Emplie Leavg Dept	1	No	1Y	1Y	1
0000524	Stdy Fldrs Cvl Svc/Non-Cvl Svc Job Clsfcns,Incls Mtrls & Wrkng Paprs	1	No	3Y	3Y	1
	* AGY - Purge when study complete.					
00001198	PS - Pers. Operations - Self Assessment	1	No	5Y	5Y	3
00001199	PS - Perf. Indicators/Perf. Standards	1	No	5Y	5Y	3
00001208	PS - Personnel Management Reviews Program	1	No	5Y	5Y	3
00001210	PS - Staffing Study Program	1	No	5Y	5Y	3
00001211	Ps - Complement Authorization Requests	1	No	5Y	5Y	1

Agency: 021 Human Services
Bureau: 2171015000 The Bureau of Human Resources - Division of Employee Relations & Development

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000391	Wlfr Safty Prgm, Corr, Rpts, Forms, Docmnts, Re: Safty Mtrs	1	No	2Y	2Y	1
00000435	Prgm Trng Files - Anncmnts, Nomntns, Acptnc Ltr Attndnc	1	No	2Y	4Y	1
00000736	Furlough Documentation	1	No	4Y	4Y	3
00000745	Labor Relations Training File	1	No	5Y	5Y	1
00000746	Patient Abuse File	1	No	2Y	2Y	1
00001200	PS - Occupational Health Program	1	No	5Y	5Y	3
00001201	PS - AIDS Program	1	No	5Y	5Y	3
00001202	PS - Abestos Program	1	No	30Y	30Y	3
00001203	PS - Accident Prevention Program	1	No	5Y	5Y	1
00001204	PS - Hazardous Substance Control Program	1	No	5Y	5Y	3
00001205	Ps - Fire Safety Program	1	No	5Y	5Y	1
00001262	PERS - Blr Exp. Greivance Procedure	1	No	5Y	5Y	3

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001263	Grievance Case Files	1	No	1M	5M	1
00001264	PERS - Civil Service Appeals	1	No	5Y	5Y	3
	* AGY - After final resolution.					
00001265	Pers - Blr Discipline Files	1	No	5Y	5Y	3
00001266	PERS - Blr Strike Files	1	No	5Y	5Y	3
00001267	Pers - Blr Training Materials	1	No	5Y	5Y	1
00001268	Pers - Blr Miscellaneous Correspondence	1	No	0Y	0Y	1
	* AGY - Retain for as long as necessary.					
00001269	PRS - Blr Local Agreements	1	No	5Y	5Y	1
00001361	Exit Interview/Questionnaire Form Pw 377	1	No	2Y	2Y	3
00001362	Automated Exit Interview Systems (Aeis)	1	No	10Y	10Y	3
00001363	Exit Information Summary Semiannual Report	1	No	4Y	4Y	3

Agency: 021 Human Services
Bureau: 2171017000 The Bureau of Human Resources - Division of Human Resource Systems & Employee Benefits

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000165	Recrtmnt & Replcmnt Actvy Files - Corr & Info Re:Recrtmnt & Replcmnt	1	No	1Y	1Y	1
00000609	Code Of Conduct Forms + Act 170, Financial Disclosure Records	1	No	4Y	4Y	1
00000739	Disciplinary Action	1	No	2Y	12Y	1
00001179	OPS - Active Disability Leave Files	1	No	0Y	0Y	3
	* AGY - Return opf to office upon completion of work.					
00001180	OPS - Recruitment/Civil Serv. Announcements	1	No	0Y	0Y	1
	* AGY - Until superseded.					
00001181	OPS - Administrative Files	1	No	0Y	0Y	1
	* AGY - Retain for as long as necessary.					
00001182	OPS - Placement Records (Field)	1	No	6M	6M	3
00001183	OPS - Placement Records (Headquarters)	1	No	6M	6M	3
00001184	OPS - Certification Materials	1	No	1Y	1Y	3
00001185	OPS - Recruitment Administrative Files	1	No	0Y	0Y	1
	* AGY - Retain for as long as necessary.					
00001186	Research Files	1	No	0Y	0Y	1
	* AGY - Retain for as long as necessary.					

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001206	Ps - Sick Leave Program	1	No	5Y	5Y	3
00001207	PS - Overtime Program	1	No	5Y	5Y	1
00001209	PS - Supplementary Employment Program	1	No	5Y	5Y	3
00001212	PS - Prof. Residency For Excellence Program	1	No	5Y	5Y	3

Agency: 021 Human Services
Bureau: 2171018000 The Bureau of Human Resources - Division of Human Resource Services

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000737	Freeze Exception File	1	No	1Y	1Y	1
00000738	Senior Management Service	1	No	8Y	13Y	1
00001170	Temporary Work Out Of Class	1	No	5Y	5Y	3
00001171	OPS - Job Specifications (Headquarters)	1	No	0Y	0Y	1
	* AGY - Retain current & immed. Preceding files.					
00001172	OPS - Study Files (Headquarters)	1	No	5Y	5Y	3
00001173	OPS - Study Files (Field)	1	No	5Y	5Y	3
00001174	OPS - Grievance Files	1	No	5Y	5Y	3
00001175	OPS - Post Audit Of Job Description Files	1	No	1Y	1Y	3
00001176	OPS - Dual Employment Files	1	No	3Y	3Y	3
00001177	Ops - Hiring Above The Minimum File	1	No	3Y	3Y	3
00001178	Ops - Daily Actions - Job Descript. Files	1	No	0Y	0Y	3
	* AGY - Until superseded per each job.					
00001454	Position Files	1	No	2Y	3Y	1
	Files contain records of positions that have been filled or closed without being filled, job postings, interview documentation, candidate bid forms (PW 944), resumes, and civil service lists.					

Agency: 021 Human Services
Bureau: 2172501000 ODP - Division of Adult Residential Licensing

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000833	Licensing Regulation File (Granted Waviers)	1	No	0Y	0Y	1
	* AGY - Until regs chng or provider chngs/withdraws.					
00000834	Licensing Regulation File-Dentials Of Wavie	1	No	1Y	1Y	1
	* AGY - After decision.					
00000835	Personal Care Homes Functional & Gen. Files	1	No	5Y	5Y	3

Agency: 021 Human Services
Bureau: 2174001000 Bureau of Administrative Services

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001312	AS - General Correspondence	1	No	0Y	0Y	1

* AGY - Retain for as long as necessary.

Agency: 021 Human Services
Bureau: 2174001946 Licensing Management and Research

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000674	Licensing Files - (After Closure)	1	No	2Y	2Y	3

These files are duplicate copies of series item numbers 749, 1007, 1011, & 1017. The OMHSAS, OMR, OCD, and OSP maintain the original records at the regional field sites throughout the state. The regional offices of these program offices provide license and compliance review to community based providers, county operated administrative structures (OMR) , child day care centers, group day care homes, family day care homes (OCD), personal care home (OSP) , and community mental health facilities (OMHSAS). The files contain PW 633, Application for Certificate of Compliance, PW 68, Recommendations for Certificates of Compliance, transmittal cover letters, lists of deficiencies, plans of correction, inspections notes, child abuse and criminal history clearances, federal tax information, and all related correspondence. The Cross Program Licensing Team (CPLT) has created purge requirements for these files and is available upon request from your records coordinator or from the office of Licensing Management and Research.

* AGY - Maintain in Agency for 2 years after closure OR maintain in Agency for 5 years if closed under adverse conditions.

Agency: 021 Human Services
Bureau: 2174041000 Division of Facility & Property Management

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000004	Power Plant Surveys	1	No	10Y	10Y	1
	* AGY - If not required.					
00000005	Genl Svcs Projs At Insts	1	No	0Y	0Y	1
	* AGY - Retain as long as bldg/inst in state srvc.					
00000901	Rights Of Ways	1	No	7Y	7Y	3
	* AGY - After term of applicable right of way.					
00000902	Utility Agreements	1	No	7Y	7Y	3
	* AGY - After term of applicable AG reement.					

Agency: 021 Human Services
Bureau: 2174042000 Division of Support Services

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
0000056	Automotive Reports Incl Acc Rpts & Sums Automotive reports including accident reports and sums.	1	No	4Y	4Y	1
0000432	Sgntr Authrz Card (OA275) * AGY - Keep as long as person authorized.	1	No	0Y	0Y	1
00001025	P - Organizational Membership Reqs. (Pw-624)	1	No	3Y	3Y	1

Agency: 021 Human Services
Bureau: 2176001000 Bureau of Equal Opportunity

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000396	Contract Compliance Records Includes Compliance Questionnaires (STD-21, Compliance Review Form, STD-168 MBE/WBE Subcontractor and Solicitation and Commitment Form), Policy Statements from companies, reports (i.e. Monthly Procurement Report), related correspondence.	1	Yes	2Y	2Y	3
00000397	Civil Rights Compliance Review Reports Includes Civil Rights Review Reports and related miscellaneous reports, correspondence, etc.	1	Yes	2Y	2Y	3
00000398	Equal Employment Review Certificates (STD-483) Duplicate copy- original is maintained in HR for 4 years	1	No	3M	3M	3
00000400	Discrimination/Harassment Complaints (After Closing) The files include STD-486 and all other documentary evidence of complaints filed with the Bureau of Equal Opportunity.	1	Yes	1Y	7Y	1
00000401	Annual EEO, LEP, and Contract Compliance Plans Calendar-year DPW's Equal Employment Opportunity Plan, Fiscal-year DPW's Limited English Proficiency Plan, and Fiscal year DPW's Contract Compliance Plan.	1	Yes	2Y	2Y	3
00000402	General Correspondence Administrative correspondence and reports relating to the operation of the Bureau of Equal Opportunity, also includes minority recruitment correspondence with various Civil Rights Organizations, which relate to Human Services.	1	No	3Y	3Y	3

Agency: 021 Human Services
Bureau: 2176501000 Bureau of Procurement and Contract Management

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000380	P - Blue Back Contracts Svcs W/Supp Dcmnts	1	No	3Y	3Y	1
00000726	DPW Purchasing Account File	1	No	6M	7M	1
00001021	P - Purchasing Files (STD-278 & STD-273)	1	No	3Y	3Y	1
00001022	P - Facilities Maintenance Contracts	1	No	3Y	3Y	1
00001023	P - Emergency Procurement Requests (Pw-1231)	1	No	3Y	3Y	1
00001024	P - Prior Approval Confirmations	1	No	3Y	3Y	1
00001026	P - Bid List Applications	1	No	2Y	2Y	1
00001027	P - Loc. Pur. Prop. Perish. Foods (PW-519), Standard Bid Tabulations(PW-523)	1	No	1Y	1Y	3
00001028	P - DGS Contracts	1	No	2Y	2Y	1
00001029	P - Internal Purch/Instit. Review Correspon.	1	No	2Y	2Y	3
00001030	P - Vendor Catalogs & Specs. Etc.	1	No	3Y	3Y	1

Agency: 021 Human Services
Bureau: 2177001000 Bureau of Financial Operations

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000001	Audit Rpts, Incls Ag, Usda, Rgnl & Dptmntl Audits/Reviews	1	No	2Y	6Y	1
00000340	Census Cards	1	No	999Y	999Y	1
00000362	90-Day Delnqnt Acct Frms-Rpt Of Patnt Liably	1	No	1Y	1Y	1
00000723	County Assistance Disbursement Authorizations	1	No	1M	83M	1
00000724	Cao Emergency Fund Replenishment File	1	No	1Y	5Y	1
00001144	General Correspondence These files conatin letters, memos, notes, reports, analysis, and correspondence related to the functional responsibilities of the Bureau.	1	No	5Y	5Y	1
00001145	FO - FIC Abatement Modification Files	1	No	5Y	5Y	3
	* AGY - After completion of last transaction.					
00001146	FO - FPO General Correspondence	1	No	0Y	0Y	1
	* AGY - Retain for as long as necessary.					
00001147	FO - Arf Audit Resolution Files	1	No	3Y	3Y	3
	* AGY - After final resolution.					
00001342	Income & Expenditure Rpts & Sup Docs	1	No	3Y	3Y	1
00001342 A	Income & Expenditure Rpts & Sup Docs - Orig Film	A	No	15Y	15Y	1

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001438	Payment to Counties for MH/MR and Drug and Alcohol MH & MR Income & Expenditure Reports. All payment correspondence. MH & MR Allocation Letter, Action Memorandums, County/Personnel Roster PW 1171, program cost settlement report, Drug & Alcohol program records.	1	No	3Y	3Y	3

Agency: 021 Human Services
Bureau: 2177071072 Reimbursement Operations Section

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000320	Financial Reports & Supporting Data Files	1	No	1Y	5Y	1

Agency: 021 Human Services
Bureau: 2177072000 Division of Audit And Review

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000537	Internal Audit Working Papers	1	No	3Y	5Y	1
00001151	FO - SA Child Support Audits Iv-D	1	No	3Y	3Y	3
	* AGY - After final resolution.					
00001152	FP - SA Food Stamp Audits	1	No	3Y	3Y	3
	* AGY - After final resolution.					
00001153	FO - SA Int. Care Fac./M. R. Audits	1	No	3Y	3Y	3
	* AGY - After final resolution.					
00001154	FO - SA General Correspondence	1	No	0Y	0Y	1
	* AGY - Retain as long as necessary.					
00001155	FO - AR General Correspondence	1	No	0Y	0Y	1
	* AGY - Retain as long as necessary.					
00001156	FO - EO - Audit Working Paper Files	1	No	3Y	3Y	3
	* AGY - After final resolution.					
00001157	FO - EO - Indepen. Audit Settlement Files	1	No	3Y	3Y	3
	* AGY - After final resolution.					
00001158	FO - EO - General Correspondence	1	No	0Y	0Y	1
	* AGY - Retain for as long as necessary.					
00001159	FO - WO - Audit Working Paper Files	1	No	3Y	3Y	3
	* AGY - After final resolution.					
00001160	Independent Audit Settlement Files	1	No	3Y	3Y	3
	* AGY - After final resolution.					

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001161	FO - WO General Correspondence	1	No	0Y	0Y	1

* AGY - Retain for as long as necessary.

Agency: 021 Human Services
Bureau: 2177073000 Division of Third Party Liability

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000702	Third Party Liability (TOL) Recoveries	1	No	6M	66M	1
00001374	Third Party Liability - Casualty Unit Cases The files contain correspondence with attorneys, copies of medical records, invoices, public assistance transcripts, narrative analysis of household income and medical insurance records. * AGY - After closing.	1	Yes	1Y	4Y	1
00001422	Health Insurance Premium Payment (HIPP) Records The records include form PW 1661, HIPP, and supporting documentation which relates to the paying for health insurance for medical assistance recipients. * AGY - After closing.	1	No	1Y	4Y	1

Agency: 021
Bureau: 2177076000

Human Services
Bureau of Financial Operations-Division of
Financial Reporting

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001320	OR - Departmental Cost Allocation Plan	1	No	5Y	5Y	1
00001321	FR - Cost Apportionment	1	No	5Y	5Y	1
00001421	Cost Allocation Workpapers	1	No	1Y	4Y	1

Agency: 021 Human Services
Bureau: 2178001000 Bureau of Hearings And Appeals

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000152	Hearing Files with Audio Tapes Requests for hearings by applicants to appeal action or failure to act on the part of the County Assistance Offices, with related correspondence, minutes, audio tape of hearings and the resulting decision.	M	Yes	4M	124M	1
00000906	General Correspondence The files contain memos, reports, analysis and letters. Exception granted on April 3, 2018 from the General Administrative Schedule G001.006 – Administrative Correspondence and Subject Files (General Office).	M	No	1Y	10Y	1

Agency: 021 Human Services
Bureau: 2179001000 Bureau of Program Integrity

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000750	Restricted Recipient Unit Lock-In Rrogram	1	No	5Y	5Y	3
00000803	Medical Provider Evaluation Case Files (Hardcopy)	1	No	2Y	10Y	1
	Documentation accumulated during an evaluation of a medical/services/equipment provider (medical doctors, doctors of osteopathy, dentists, chiropractors, podiatrists, clinics, durable medical equipment providers, ambulance companies, etc.) to determine whether there was compliance with Medical Assistance program regulations.					
	* AGY - 2 years after case closure, then microfilmed. After evaluation by the Program of Integrity, the original paper is shredded.					
00000803 A	Medical Provider Evaluation Case Files (Original Microfilm)	A	No	2Y	10Y	1
	Documentation accumulated during an evaluation of a medical/services/equipment provider (medical doctors, doctors of osteopathy, dentists, chiropractors, podiatrists, clinics, durable medical equipment providers, ambulance companies, etc.) to determine whether there was compliance with Medical Assistance program regulations.					
00001013	Ma - Gen. Doc. For Provider Control	1	No	1Y	5Y	1
00001356	Inpatient Retrospective Review Program	1	No	2Y	10Y	1
	Reviews performed on inpatient hospitals to determine compliance with Medical Assistance Program regulations (on-site visits, correspondence with hospitals, appeals information, computerized records, etc.).					

Agency: 021 Human Services
Bureau: 2181001000 OCDEL - Bureau of Subsidized Child Care Services

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000094	Day Care Cntrs For Chdrn-Hist Files (Aft Clng) Cy451,Rpts,Liscnsr,Corr	1	No	2Y	5Y	1
00000393	Day Care Serv Rpts-PW29A,29B,Rltd Mtrl & Corr	1	No	2M	1M	1
00000513	Chld Day Care Cntrcts, Docmnts Re:Purchs Of Svcs	1	No	3Y	8Y	1
00000682	Alpha Control Files-Apps,Day Care Services	1	No	4M	40M	1
	* AGY - After client becomes inactive.					
00001119	CYF-DCS Day Care Waiver of Regulations A waiver of regulation is a written statement from the Department of Human Services (DHS) that excuses an operator from meeting a specific regulation, and substitutes another standard which the operator must meet.	M	No	5Y	5Y	3
00001120	CYF - DCS General Correspondence	1	No	0Y	0Y	1

* AGY - Retain as long as required.

Agency: 021 Human Services
Bureau: 2182001000 Office of Child Development, Bureau of Licensing Services

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001007	Licensing Files - Child Day Care Centers, Group Day Care Homes, and Family Day Care Homes	1	Yes	2Y	2Y	3

The regional offices monitor compliance with laws and regulations for child day care centers, group day care homes, and family day care homes. These files contain applications for certificates of compliance or Registration, Recommendations for certificates of compliance (PW 68 and PW 68.1), transmittal cover letters, lists of regulatory violations, plans of correction, inspection tools and notes, complaint registrations and reports, proof of fire safety approval, corporation papers, fictitious name approval, proof of non-profit operation, federal tax information, facility profiles, child abuse and criminal history clearances, staff health assessments, waivers, enforcements actions, pre- licensing surveys and all related correspondence.

* AGY - After closing

** Maintain for 5 years if closed under adverse conditions
 The regional offices monitor compliance with laws and regulations for child day care centers, group day care homes, and family day care homes.

Agency: 021 Human Services
Bureau: 2183001000 Bureau of Early Learning Services

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001428	<p>Childrens Trust Fund</p> <p>This is a grant program that funds community based child abuse and neglect prevention programs. The files contain grant AG reement forms, correspondence, quarterly program reports, monthly expenditure reports, budget revision requests, monitoring reports, local match verifications, refunds memos.</p>	1	No	3Y	6Y	1
00001433	<p>Parent Child Home Programs (PCHP)</p> <p>The PC hp is an early education child literacy program that sends home visitors twice a week to show parents how to read to and to play with their children, thus promoting literacy and creativity in children. This is done for a two year period. To determine the effectiveness of the program the children are tracked until their 18th birthday. The files contain grant AG reements, program and expenditure reports, budget revisions, monitoring reports, correspondence, and match verifications. These records contain client names and Social Security numbers and other personal data. Under HIPAA privacy regulations they will remain confidential.</p>	1	No	3Y	18Y	1

Agency: 021
Bureau: 2190101000

Human Services
Deputy Secretary For Social Programs

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001008	Sp - Admin. Control Files	1	No	4Y	4Y	1
00001009	Sp - Office Management Files	1	No	4Y	4Y	1

Agency: 021 Human Services
Bureau: 2190910000 Division of Budget And Fiscal Evaluation

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000543	Family Planning Prog Rpt Of Apprvd Services	1	No	3M	5M	1
00000820	Attendent Care Program	1	No	2Y	5Y	2
00000821	Emergency Shelter Grant	1	No	2Y	7Y	2
00000823	Rape Crisis Program	1	No	2Y	6Y	2
00000824	Domestic Violence Program	1	No	2Y	6Y	2
00000825	Family Planning Program	1	No	2Y	5Y	2
00000828	Long Term Care Assessment & Management Program	1	No	2Y	7Y	2
00000829	Public Assistance Transportation Block Grant	1	No	3Y	4Y	1
00000830	Title XX Plan File	1	No	2Y	7Y	1
00000831	Case Management Study File	1	No	2Y	6Y	2

* AGY - After issuance of final report.

Agency: 021 Human Services
Bureau: 2192024000 Bur of Home & Community Based Services - Div of Adult Residential Facilities

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001011	Licensing Files - Personal Care Homes	1	Yes	2Y	2Y	3

These files are maintained at the field sites within the Division of Adult Residential Facilities. These files contain licensing information on Personal Care Home Facilities. A Personal Care Home is a premise in which food, shelter, and personal assistance or supervision are provided for a period exceeding 24 hours, for four (4) or more adults who are NOT relatives of the operator. These adults do not require the services in/or of a licensed long-term care facility, but who do require assistance or supervision in matters such as dressing, bathing, diet, financial management, evacuation of a residence in the event of an emergency or medication prescribed for self-administration. The file consists of PW 628, Certificate of Compliance, PW 68.1 Recommendation for Certificate of Compliance, PW 633.1, Renewal Application for existing PW 628, Civil Rights Compliance checklist and approval letter, SP 799, Pre-Licensing Survey, SP 797, On-Site Inspection Report, file notes, correspondence, letters, Unusual Incident Reports, complaint reports, registration forms and all associated information.

* AGY - After closure of facility.

** Maintain in Agency for 5 years if closed under adverse conditions.

Agency: 021 Human Services
Bureau: 2193032000 Office of Long Term Living-Bureau of Long Term Care Programs

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000420	Indpdnt Prof Rvws, Intrmdt Care & Skl Nr Cr	1	No	2Y	7Y	1
00000641	Nursing Home Audit Files Nursing home annual cost reports, along with supporting documentation, and audit work papers .	1	Yes	1Y	20Y	1
00000784	Cost Settlement Reports	1	No	0Y	9Y	1
00000784 A	Cost Settlement Reports (Orig Film)	A	No	9Y	9Y	3
00001398	Clients Records - Individuals With Hiv/Aids	1	No	4Y	4Y	3

* AGY - After closure.

Agency: 021 Human Services
Bureau: 2194001000 Office of Long Term Living-Division of Long Term Care Provider Services

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001449	Utilization Management Review (UMR) - Financial Reviews	1	No	2Y	8Y	1
	<p>These records are original reviews of the financial records from nursing facilities located in the seven county area covered by the Harrisburg Area UMR team. These reviews are completed within Federal guidelines. The reviews consist of annual financial reviews & all correspondence with the nursing facility is included. Financial trackers, copies of 8371 and UB 92, copies of the nursing facility Aging Report, and a financial summary make up these records. These records fall under HIPAA guidelines.</p>					
00001450	UMR - Pre-Admission Screening Reviews	1	No	2Y	5Y	1
	<p>All records fall under HIPAA guidelines. These records are reviews of medical records from nursing facilities located in the seven county area covered by the Harrisburg UMR team. These reviews are completed within Federal guidelines. The reviews consist of any information pertinent to the</p> <p>pre- admission screening process. The records contain copies of residents social histories, physicals, physician orders, and Program Office letters of determination. All correspondence with the nursing facility is also included.</p>					
00001452	UMR-OBRA and Minimum Data Set (MDS) Reviews	1	No	2Y	5Y	1
	<p>All records fall under HIPAA guidelines. These records are reviews of medical records from nursing facilities located within the seven-county area covered by the Harrisburg UMR team. These reviews are completed within Federal guidelines. The reviews consist of quarterly OBRA reviews and the base-line MDS review, as well as the follow up. MDS profiles, OBRA tracking summaries, as well as all related correspondence are included.</p>					

Omnibus Budget Reconciliation Act of 1987 compliance.

Agency: 021
Bureau: 2195051000

Human Services
Division of County Based Programs

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00001414	Alternative To Abortion Program	1	No	2Y	5Y	2

Agency: 021 Human Services
Bureau: 2196001000 Bur of Home & Community Based Services

Item No	Description	Media Code	Vital	Agy Rtn	Total Rtn	Disp Code
00000827	Legal Services Program	1	No	2Y	15Y	2
00001010	Ss - Blueback Contract Admin. Files	1	No	0Y	0Y	3

* AGY - Until audit, legal rev., or 7 yrs. Per STD-56.