



RECORDS RETENTION AND DISPOSITION SCHEDULE

Family And Social Services Administration. Aging, Division of.

Agency: Aging, Division of		Division:	
ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION (This Retention Schedule is approved on a space-available basis)	RETENTION PERIOD
1	2010-09	QUALITY ASSURANCE REVIEWS Section staff performs audits in order to determine that providers of client services who have agreed to provide these services for clients, have performed the services and the client is satisfied. A service provider could be de-certified, or allegations of fraud may be reported and submitted to the Medicaid Fraud Unit of the Office of the Attorney General for the State. No fiscal content is present. Retention based on IC 12-15-22-1-1.5 and IC 35-43-5-7.1.	TRANSFER to the RECORDS CENTER after the end of the state fiscal year in which audit was completed, and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after an additional ten (10) years in the RECORDS CENTER.
2	81-783	PLAN FILES Includes the Area Agency on Aging Plans and the Division of Aging State Plan. These Plans have been approved by the Division of Aging and the Indiana Commission of Aging.	TRANSFER to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles; three (3) calendar years after the latest update.
3	81-784	GRANT - CONTRACT FILE This file includes approved budgets, approved notification of grant awards (NGA), all revisions, letters of de-obligation, and correspondence. Notification of Grant Awards (NGAs) are considered contracts. Retention based on IC 34-13-1-1, (2004 Edition)	TRANSFER to the RECORDS CENTER after the grantee has completed grant disbursement and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after an additional ten (10) years in the RECORDS CENTER.
4	2010-08	EXPENDITURE REPORTS-MEDICAID WAIVERS In accordance with the requirements of 42 USC 1397e, January 08, 2008 Edition; these reports are created every December. They show the dollars received and spent and the number of clients served for each Medicaid Waiver Program in the two (2) most recently completed State Fiscal Years. Reports are required by the Health Care Financing Administration and are also used by FSSA Administrators and the State Budget Agency, and members of the Indiana General Assembly. Retention based on IC 34-13-1-1, (2004 Edition)	TRANSFER to the RECORDS CENTER after the end of the state fiscal year and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after an additional ten (10) years in the RECORDS CENTER.
5	2010-10	ADULT DAY CARE PROVIDERS SURVEYS AND REPORTS A typical file may include extensive notes, applications, correspondence, surveys, reports and miscellaneous documents. Mostly paper records may include the Provider Approval Request for Agency Providers of Adult Day Care, and/or Adult Day Care Inspection Reminder List. Surveys are performed every three (3) years based on the date someone applies to be a provider. There is frequent referencing of providers from several previous years. No fiscal content is present. Disclosure of these records may be subject to IC 4-1-10-1, et seq., (2005 Supplement to 2008 Indiana General Assembly) Retention based on IC 12-15-22-1.5, (2004 Edition), and IC 35-43-5-7.1, (2006 Supplement)	TRANSFER to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles, three (3) years after the provider no longer offers Adult Day Care Services.
6	2015-11	CASE FILES Application for nursing facility admission requires a signed form by the applicant-s physician, as well as pre-admission screening and referral as necessary to DMHA or BDDS for further review. Form is transferred electronically. All records exist only electronically aside from the initial signed hard copy. Disclosure of these records may be subject to IC 5-14-3-4(a)(3) and (9).	DESTROY/DELETE seven (7) calendar years after application signature date.

7	81-788	NURSING HOME COMPLAINTS These records typically include complaint intake information, interview notes, medical, social and legal information. Disclosure of these records may be subject to 460 IAC 1-7-14, (February 3rd, 2010 Update). If litigation or a federal audit is in progress, records should not be destroyed until that audit or litigations is completed. Retention for federal grant records based on OMB Circular A-102, Attachment C.	DESTROY three (3) years after the complaint is resolved.
8	81-791	SUB-STATE TRAINING & ADVOCATES INFORMATION The file consists of information from the Division and the Bi-Regional Advocacy training groups.	DESTROY when outdated or replaced.
9	81-800	CALENDAR EVENTS This is a calendar of events and records relating to meetings and events, notices of the same, training events, council meetings, area meetings, etc.	DESTROY when outdated or replaced.
10	81-818	TITLE III C, NUTRITION - WORKING FILE This file includes reports on programs and menus from areas and other information necessary for recording, documenting and administering the program. If litigation or a federal audit is in progress, records should not be destroyed until that audit or litigation is completed. Retention for federal grant records based on OMB Circular A-102, Attachment C.	DESTROY after three (3) years.
11	81-820	TITLE V, EMPLOYMENT - WORKING FILE This file includes reports on programs from areas and other information necessary for recording, documenting and administering the program. If litigation or a federal audit is in progress, records should not be destroyed until that audit or litigation is completed. Retention for federal grant records based on OMB Circular A-102, Attachment C.	DESTROY after three (3) years.
12	81-821	SOCIAL SERVICES WORKING FILE This includes reports on programs from areas and other information necessary for recording, documenting and administering the program. If litigation or a federal audit is in progress, records should not be destroyed until that audit or litigation is completed. Retention for federal grant records based on OMB Circular A-102, Attachment C.	TRANSFER to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles; after three (3) years.
13	89-93	TRACKING OF COMMUNITY AND HOME OPTIONS CLIENT STATUS This is a record of a particular client-s progress through the program from referral to termination. This file has copies only. The original client case files are maintained in the "Planning and Services Area Office for Aging Programs". Disclosure of these records may be subject to IC 5-14-3-4(a)(3), and IC 5-14-3-4(a)(9), (2004 Edition to 2008 Indiana General Assembly)	TRANSFER to the RECORDS CENTER after case termination. DESTROY after an additional three (3) years in the RECORDS CENTER.
14	89-94	COMMUNITY AND HOME OPTIONS CASE TERMINATION SUMMARY This documents the date and reason for termination of the case and the final action taken by the case manager in regard to referrals or further disposition. It contains a Summary of Community and Home Options Case Termination. This file has copies only. The original case files are maintained in the "Planning and Services Area Office for Aging Programs". Disclosure of these records may be subject to IC 5-14-3-4(a)(3), and IC 5-14-3-4(a)(9), (2004 Edition to 2008 Indiana General Assembly)	TRANSFER to the RECORDS CENTER after case termination. DESTROY after an additional three (3) years in the RECORDS CENTER.

15	89-95	<p>COMMUNITY AND HOME OPTIONS CASE REVIEW RECIPIENT RECORDS</p> <p>These scoring sheets are prepared at the time of the client record audits and document the Area Agencies compliance with case management standards. The file contains the following forms:</p> <ol style="list-style-type: none"> 1. Community and Home Options Case Review of Recipient Records 2. Home Services Data Sheet Disclosure of these records may be subject to IC 5-14-3-4 (a)(3) and IC 5-14-3-4(a)(9), (2004 Edition to 2008 Indiana General Assembly) 	TRANSFER to the RECORDS CENTER after the audit by Community and Home Options Board members and staff. DESTROY after an additional three (3) years in the RECORDS CENTER.
16	89-96	<p>COMMUNITY AND HOME OPTIONS PROGRAM ADMINISTRATION FILES SERIES</p> <p>This series contains the following reports:</p> <ol style="list-style-type: none"> (1) Demographic-costs of all Services Analysis (2) Referrals by Income Level (3) Referrals by Age Category, Marital Status and Sex (4) Referrals by County, primary reported Disability and Age (5) Referrals by Primary Reported Disability (6) Referrals by County of Residence by Age (7) Referrals by Consideration of Nursing Home Placement at Time of Application of Age (8) Referrals by Adequate Housing Code (9) GFS Fiscal Analysis Report #2, Demographic Breakdown (10) Notice to clients regarding cost share (11) Client Cost Share Memo Form (12) Fiscal Action-Client Data Changes in Services (13) Weekly Client Status Report (These are computer reports compiled by the agency and not State Forms.) (14) Research and Reference materials for Community and Home Options on Alzheimer-s Disease. It contains research material from other states and topic files of related material. 	TRANSFER to the RECORDS CENTER after the end of the year of origin. TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after an additional three (3) years in the RECORDS CENTER.
17	89-99	<p>LIST OF APPOINTED BOARD MEMBERS</p> <p>This is the list for the Commission on Aging, Community and Home Options Board plus the Alzheimer-s Disease and Related Senile Dementia Taskforce.</p>	TRANSFER to the INDIANA ARCHIVES, when outdated or replaced.
18	90-04	<p>LONG-TERM CARE OMBUDSMAN FILES</p> <p>These files contain reports, referrals, and investigations relating to complaints by or on behalf of nursing home residents. Disclosure of these records may be subject to IC 5-14-3-4(a) and (b)(1) and (2) and 45 CFR 1321.51.</p>	TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles three (3) years after date of closure of complaint and/or case.
19	90-05	<p>ADULT PROTECTIVE SERVICES (APS) REPORTS (PAPER)</p> <p>The file has copies of APS reports submitted by contractors. These are maintained electronically and used for statistical purposes and contract monitoring. The Division of Aging Fiscal Analyst maintains the original FSSA contract in accordance with GRACC-5 on the General Retention Schedule and the local agency submitting the reports also retains their original contract. Disclosure of these records may be subject to IC 12-10-3-15.</p>	DESTROY hard copy upon completion of data entry; DELETE electronic records ten (10) years after receipt.
20	90-06	<p>ADULT PROTECTIVE SERVICES (APS) SUPPORTING DOCUMENTS</p> <p>This file contains police reports, incident reports, correspondence and investigative notes, and similar material. Local investigative agencies retain the original reports. Disclosure of these records may be subject to IC 12-10-3-15, (2004 Edition)].</p>	DESTROY when the case closed.

21	93-47	ADULT GUARDIANSHIP FILES These files include Requests for Proposals for grants to provide services, responses to these proposals, and review sheets used to determine who will be awarded. File also contains information on program development, standards and policies.	TRANSFER to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles; after three (3) years.
22	2016-10	MONEY FOLLOWS THE PERSON PROGRAM Funded by a federal grant, this program assists clients in transitioning from institutional to home and community settings. Files include (but are not limited to) client admission and health care records, nursing facility service evaluations, program application, consent forms and client eligibility evaluations, service budgets, client reports, incident documentation and ongoing plans of care. State Forms that may be present include SF 49120, 45277, 45528, 46015, and numerous supporting documents. Records may exist in paper or electronic format. In order to comply with both state contract and federal grant requirements, all records under this series will have the same disposal date: January 1st, 2031, ten years after the last possible disbursement of grant funds. Disclosure of these records may be affected by IC 5-14-3-4(a)(3) and (9). Retention based on IC 34-13-1-1 and the specific grant requirements.	TRANSFER paper records to the RECORDS CENTER after closure of client file, and after verification of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges for the closure year. DESTROY in the RECORDS CENTER on January 1st, 2031. DELETE electronic records on January 1st, 2031.