



Department of Education and Early Development
 Division of Libraries, Archives & Museums
 Alaska State Archives/Records & Information Management Service (ASA/RIMS)
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STATE OF ALASKA

Records Retention and Disposition Schedule

Agency I.D: 220 Schedule No: 06-220.1

DEPARTMENT OF HEALTH AND SOCIAL SERVICES
 DIVISION OF PUBLIC HEALTH
 220 - CERTIFICATION & LICENSING

The Agency will follow retention periods for common records as listed in the most current State of Alaska General Administrative Records Retention Schedule (GARRDS), unless those records have been listed on this schedule.

Unless otherwise noted all record series are nonconfidential. This schedule supersedes #66902.

All records that have potential permanent legal and historical value may be reviewed by the State Archivist for possible permanent retention in the State Archives in accordance with AS 40.21.030.

Under 4 AAC 59.005, it is the responsibility of agencies to ensure that records created and maintained in electronic systems remain accessible and durable for their prescribed retention period. This requires addressing the issues of periodic media refreshment, digital migration strategies and security plans. Backups produced for system recovery purposes do not serve a recordkeeping function or substitute for archived business essential duplicates.

Pursuant to the provisions of AS 40.21 and 4 AAC 59, the records listed on this schedule are approved for retention and disposition as indicated.

Division Director	Signature of Division Director		Date
	*		9/27/06
Attorney General/Designee	Date	Commissioner of Administration/Designee	Date
*	1/2/07	*	1/22/07
State Archivist	Date	Records Analyst	Date
*	1/30/07	*	9/11/06

* Original signatures held on file

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p>001.1 - Assisted Living Licensing Files (Voluntary Closure) This records series may include, but is not limited to: approved application for probationary or standard licenses, modifications, renewals, variances, self-monitoring reports, complaints received, investigation reports and responses, notices of violation, compliance reports, physician statements, references, contracts, sworn statements and correspondence.</p>		C+4		<p>C = Date of closure.</p> <p>Some data from this series are entered into the License Database, a MS Access application that captures information documenting the entire licensing process (e.g. homes licensed, date of approvals, renewals).</p> <p>Confidential under the Alaska Constitution, Article I, Section 22.</p> <p>There are approximately X licensed homes serving X residents.</p>
<p>001.2 - Assisted Living Licensing Files (Closure for Cause) This records series may include, but is not limited to: approved application for probationary or standard licenses, modifications, renewals, variances, self-monitoring reports, complaints received, investigation reports and responses, notices of violation, compliance reports, physician statements, references, contracts, sworn statements and correspondence.</p>		C+7		<p>C = Date of closure.</p> <p>Some data from this series are entered into the License Database, a MS Access application that captures information documenting the entire licensing process (e.g. homes licensed, date of approvals, renewals).</p> <p>Confidential under the Alaska Constitution, Article I, Section 22.</p> <p>There are approximately X licensed homes serving X residents.</p>
<p>002 - Licensing Applications (Denied) May include application for license, investigation reports, correspondence documenting denial of application, copies of appeals and decisions.</p> <p>Refer to item #001 for homes previously licensed.</p>		4		<p>Denial of License: 7 AAC 75.120</p> <p>The Director's Office is the Office of Record for appeal hearings.</p>

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

<p>Retention Key</p> <p>A = Until Audit C = Cut-off event/date CY = Current Year CFY = Current Fiscal Year PA = Permanent (Transfer to State Archives)</p> <p>PO = Permanent (Retain in agency office) S = Until Scanned T = Transfer TO = Term of Office</p>	<p>Format Key</p> <p>H = Hardcopy E = Electronic D = Database M = Microform</p>	<p>Bus. Ess = Business Essential</p> <p>1. Are necessary for emergency response 2. Are necessary to resume or continue operations</p>
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Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p>003 - Other Provider Certification Documents & Survey Files This series documents other provider Medicare/Medicaid certification and consists of the following: correspondence, date of certification, category of provider, number of beds in the facility, services and staffing provided, reports, and state survey agency remarks.</p> <p>Arranged alphabetically by provider.</p>		10		<p>Justification for ten-year retention: Administrative need.</p> <p>Annual accrual rate is approximately two cubic feet.</p>
<p>004 - Certified Lab Technologist Proficiency Testing Program Records This records series documents certification of facilities performed by a national laboratory. Labs in the state must pass a proficiency test each quarter; two failures results in revocation of certification.</p> <p>Arranged alphabetically by laboratory.</p>		5		
<p>005 - Nonparticipating Facilities Files For facilities files that no longer participate in the Medicare/Medicaid program.</p> <p>Arranged alphabetically by name of facility.</p>		C+2		C = Termination, closure, withdrawal or denial.
<p>006 - Floor Plans and Physical Layouts For participating providers.</p>		C		C = Until facility no longer in use.
<p>007 - State Licensure This series documents state licensure facilities including: correspondence, application, bed count, staffing information, statement of deficiency reports and state agency remarks.</p>		10		<p>Justification for 10-year retention: Administrative need.</p> <p>Some information in this series is input into ASPEN (refer to item #008).</p>
<p>008 - ASPEN Reports (HICFA 25-67: Statement of Deficiencies) Surveys of Medicare/Medicaid provider activities indicating findings discovered through the course of the survey, time spent on survey, etc.</p>	H & E	C		C = Until information complies with authorized records retention requirements under AS 40.21 (Management & Preservation of Public Records) and 4 AAC 59.005 (Retention & Preservation of Electronic Records).

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<p>009 - APSIN Logs These logs document criminal justice information queries authorized under AS 47.05.300 and are provided to the Department of Public Safety upon request. The logs validate that at the time the information was accessed, the record individual was subject to the requirements of AS 47.05. Logs include the name of those receiving information.</p> <p>Arranged by calendar year.</p>		3		<p>Authority: AS 12.62 Criminal Justice Information & Records Checks</p> <p>APSIN = Alaska Public Safety Information Network</p> <p>May be administered electronically or in hard copy.</p> <p>Nonconfidential.</p>
<p>010.1 - Background Checks (Approved Individuals) This records series documents requests for criminal background checks to determine applicant ability to be associated with a DHSS program in accordance with established standards. Consists of the following: applications with personal data, criminal records, state and FBI fingerprint results, exception and variance requests, and correspondence.</p> <p>Arranged alphabetically by applicant name.</p>		C+2	Y	<p>C = Until individual is no longer approved.</p> <p>This records series is confidential under AS 47.05.300 - 390.</p> <p>Certain data is input into the Background Check Information System.</p>
<p>010.2 - Background Checks (Disapproved Individuals) This records series documents requests for criminal background checks to determine applicant ability to be associated with a DHSS program in accordance with established standards. Consists of the following: applications with personal data, criminal records, state and FBI fingerprint results, exception and variance requests, and correspondence.</p> <p>Arranged alphabetically by applicant name.</p>		C+75		<p>C = Until individual is disapproved.</p> <p>This records series is confidential under AS 47.05.300 - 390.</p> <p>Certain data is input into the Background Check Information System.</p>
<p>011 - ABCS (Alaska Background Check System) Information entered into ABCS regarding an individuals background history. Background history is one factor that determines eligibility for licensure, certification, or eligibility to receive payment from the state.</p> <p>Arranged numerically by case number.</p>		10		<p>This records series is confidential under AS 47.05.300 - 390.</p>

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Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
012.1 - Nursing Home Census (Paper) Monthly reports regarding the availability and utilization of nursing home beds, swing beds and psychiatric hospitals. Includes per diem rates, breakdown percentages of occupied Medicaid versus other payment sources and population by age.	H	PA		
012.2 - Nursing Home Census (Electronic) Monthly reports regarding the availability and utilization of nursing home beds, swing beds and psychiatric hospitals. Includes per diem rates, breakdown percentages of occupied Medicaid versus other payment sources and population by age.	E	C		C = Until information complies with authorized records retention requirements under AS 40.21 (Management & Preservation of Public Records) and 4 AAC 59.005 (Retention & Preservation of Electronic Records). The electronic version is administered in Microsoft Excel.
013 - OSCAR/ODI Relative to deficiencies, tag numbers regarding regulations, certification status, staffing numbers and discipline.	E	C		C = Until information complies with authorized records retention requirements under AS 40.21 (Management & Preservation of Public Records) and 4 AAC 59.005 (Retention & Preservation of Electronic Records). OSCAR/ODI = Online Survey, Certification & Reporting System/Online Data Information Exchange. Provided by CMS, administered by Certification & Licensing. Providers have modem access to state stand-alone server. CMS is phasing out.

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Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks			
014 - CLIA (Clinical Laboratories Improvement Act) Tracks all laboratories in the state. Data collected includes; Deficiencies, Compliance, Facility ID/Provider Number, Operating Status, Certification, Waived, and IDR Status.	E	C		C = Until information complies with authorized records retention requirements under AS 40.21 (Management & Preservation of Public Records) and 4 AAC 59.005 (Retention & Preservation of Electronic Records).			
015 - MDS (Minimum Data Set) For nursing homes only, capturing patient profiles. Data is input by facilities.	E	C		C = Until information complies with authorized records retention requirements under AS 40.21 (Management & Preservation of Public Records) and 4 AAC 59.005 (Retention & Preservation of Electronic Records). Provided by CMS, administered by Certification & Licensing. Providers have modem access to state stand-alone server.			

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