



DEPARTMENT OF EDUCATION AND EARLY DEVELOPMENT  
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 Archives and Records Management Services  
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STATE OF ALASKA

Schedule Number: 66902

Agency ID #: 220

RECORDS RETENTION SCHEDULE

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DEPARTMENT OF HEALTH & SOCIAL SERVICES

DIVISION OF PUBLIC HEALTH

CERTIFICATION & LICENSING

KEY

- A** - After Audit
- CFY** - Current Fiscal Year
- CY** - Current Year
- P** - Permanent
- Numerals** - Years in Addition to current year
- TO** - Term of Office
- M** - After Microfilming
- C** - Current/or as defined

The Agency will follow retention periods for common records as listed in the State of Alaska General Administrative Records Schedule #100.2, unless those records have been listed on this schedule.

Unless otherwise noted all records are retained on **Fiscal** year basis.

All records that have potential permanent legal and historical value may be reviewed by the State Archivist for possible retention in the Alaska State Archives in accordance with AS 40.21.030. Accessioned records may be reappraised for permanent value every four years or at the archivist's discretion.

Unless otherwise noted all record series are nonconfidential. This records schedule supercedes #66901 (Health Facilities Licensing), #61201 (Assisted Living Homes), and #69000 (Background Check Unit).

Statutory/Regulatory Authority: AS 18.20 Hospitals & Nursing Facilities); AS 47.05 (Criminal History & Registry); AS 47.07 Medical Assistance for Needy); AS 47.08 & .25 (Assistance); AS 47.32 (Centralized Licensing); Social Security Act Titles XVIII (Medicare), XIX (Medicaid), Title XXI (Insurance); 7 AAC 10, 12, 43, 48, 75.

The Certification & Licensing Section protects and reduces the risk to the health, safety, and exploitation of Alaska's citizens and ensures public confidence in the health care and community service delivery systems through regulatory, enforcement and educational activities. The Section inspects assisted living homes, nursing homes and other health care facilities and requires that necessary corrections or improvements be implement to protect the safety of all residents. The Background Check Unit completes background checks on individuals who are licensed certified, eligible to receive funding.

NOTE: Under 4 AAC 59 it is the responsibility of departments to ensure that records created and maintained in electronic systems remain accessible for their prescribed retention period. This requires taking into account the issues of refreshing, migration, security duplicates; and, analog/digital crosswalks in planning, implementing, and administering the electronic system. Back-ups produced for system recovery purposes do not serve a recordkeeping function and do not substitute for security copies of records.

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

Divison Director	State Archivist	Date	Attorney General	Date
Richard Mandsager, MD	<i>Kla Nail</i>	1-30-07	<i>Craig J. Telley</i>	1/2/07
Signature of Division Director	Date	Records Analyst	Date	Commissioner of Administration
<i>Deborah L. Erickson</i>	9/27/06	<i>Christopher W. Hill</i>	9-11-06	<i>Kristi Jensen</i>

*for RM*

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Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
1	<p><b>Assisted Living Licensing Files (Voluntary Closure):</b></p> <p>(Closure for Cause):</p> <p>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	-	-	C+4		<p>C=Date of closure. 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 per Alaska Constitution, Article I, Section 22.</p> <p>There are approximately X licensed homes serving X residents.</p> <p>Previously listed on retention schedule #61201 (Assisted Living Homes).</p>
		C+7	-	-	C+7		
2	<p><b>Licensing Applications, Denied:</b></p> <p>May include application for license, investigation reports, correspondence documenting denial of application, copies of appeals and decisions.</p> <p>Refer to Item 1 for homes previously licensed.</p>	4	-	-	4		<p>Denial of License: 7 AAC 75.120</p> <p>The Director's Office is the Office of Record for appeal hearings.</p> <p>Previously listed on retention schedule #61201 (Assisted Living Homes).</p>
3	<p><b>Other Provider Certification Documents &amp; Survey Files:</b></p> <p>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		-	10		<p>Justification for ten-year retention: Administrative need.</p> <p>Annual accrual rate is approximately two cubic feet.</p>

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		Office	Records Center	State Archives	Destroy	Vital Record	
4	<p><b>Certified Lab Technologist Proficiency Testing Program Records:</b></p> <p>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	-	-	5		
5	<p><b>Nonparticipating Facilities Files:</b></p> <p>For facilities files that no longer participate in the Medicare/Medicaid program.</p> <p>Arranged alphabetically by name of facility.</p>	C+2	-	-	C+2		C=Termination, closure, withdrawal or denial.
6	<p><b>Floor Plans and Physical Layouts:</b></p> <p>For participating providers.</p>	C	-	-	C		C=Until facility no longer in use.

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Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
7	<p><b>State Licensure:</b></p> <p>This series documents State licensure facilities including: correspondence, application, bed count, staffing information, statement of deficiency reports and state agency remarks.</p>	10	-	-	10		<p>Justification for 10-year retention: Administrative need.</p> <p>Some information in this series is input into ASPEN (refer to Item 8).</p>
8	<p><b>ASPEN Reports (Electronic &amp; Paper): [HICFA 25-67: Statement of Deficiencies]</b></p> <p>Surveys of Medicare/Medicaid provider activities indicating findings discovered through the course of the survey, time spent on survey, etc.</p>	C	-	-	C		<p>C= Until information complies with authorized records retention requirements under AS 40.21 (Management &amp; Preservation of Public Records) and 4 AAC 59.005 (Retention &amp; Preservation of Electronic Records).</p>
9	<p><b>APSIN Logs:</b></p> <p>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	-	-	3		<p>Authority: AS 12.62 Criminal Justice Information &amp; Records Checks</p> <p>APSIN: Alaska Public Safety Information Network</p> <p>May be administered electronically or in hard copy.</p> <p>Nonconfidential.</p>

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**Retention**

**Disposition**

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		Office	Records Center	State Archives	Destroy	Vital Record	
10	<p><b>Background Checks (Approved Individuals):</b></p> <p>(Disapproved Individuals):</p> <p>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	-	-	C+2	X	C=Until individual is no longer approved.
		C+3	72	-	C+75		C=Until individual is disapproved.  This records series is confidential under AS 47.05.300 - 390.  Certain data is input into the Background Check Information System.  Previously listed on retention schedule #69000 (Background Check Unit).
11	<p><b>ABCS (Alaska Background Check System) (Electronic):</b></p> <p>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	-	-	10		This records series is confidential under AS 47.05.300 - 390.
12	<p><b>Nursing Home Census (Electronic):</b></p> <p>(Paper):</p> <p>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.</p>	C	-	-	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).
		C	-	P	-		The electronic version is administered in Microsoft Excel.

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Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
13	<p><b>OSCAR/ODI (Electronic):</b></p> <p>Relative to deficiencies, tag numbers regarding regulations, certification status, staffing numbers and discipline.</p>	C	-	-	C		<p>C= Until information complies with authorized records retention requirements under AS 40.21 (Management &amp; Preservation of Public Records) and 4 AAC 59.005 (Retention &amp; Preservation of Electronic Records).</p> <p>OSCAR/ODI: Online Survey, Certification &amp; Reporting System/Online Data Information Exchange. Provided by CMS, administered by Certification &amp; Licensing. Providers have modem access to State stand-alone server.</p> <p>CMS is phasing out.</p>
14	<p><b>CLIA (Clinical Laboratories Improvement Act) (Electronic):</b></p> <p>Tracks all laboratories in the State. Data collected includes; Deficiencies, Compliance, Facility ID/Provider Number, Operating Status, Certification, Waived, and IDR Status.</p>	C	-	-	C		<p>C= Until information complies with authorized records retention requirements under AS 40.21 (Management &amp; Preservation of Public Records) and 4 AAC 59.005 (Retention &amp; Preservation of Electronic Records).</p>
15	<p><b>MDS (Minimum Data Set) (Electronic):</b></p> <p>For nursing homes only, capturing patient profiles.</p> <p>Data is input by facilities.</p>	C	-	-	C		<p>C= Until information complies with authorized records retention requirements under AS 40.21 (Management &amp; Preservation of Public Records) and 4 AAC 59.005 (Retention &amp; Preservation of Electronic Records).</p> <p>Provided by CMS, administered by Certification &amp; Licensing. Providers have modem access to State stand-alone server.</p>

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Item No.	Records Series Title and Description	Office	Records Center	State Archives	Destroy	Vital Record	Remarks
16	<p><b>GENERAL ADMINISTRATIVE RECORDS:</b></p> <p>Includes administrative records related to Budget Preparation; General Accounting; Grant Management; Procurement, Leasing &amp; Property; General Administrative; Personnel Administration; and, Information Technology.</p> <p>Certification &amp; Licensing staff will follow retention periods as listed in the General Administrative Records Retention Schedule (GRS).</p>	-	-	See GRS	See GRS		<p>All duplicate copies of records maintained on any media may be destroyed as soon as administrative/management need is met.</p> <p>The General Schedule may be accessed on the Archives &amp; Records homepage. When transferring records to the records center, please refer to the relevant item number from the GRS.</p>