

Department of Human Services
Aging and People with Disabilities
Records Retention Schedule 2021-0003
Effective Date: December 2022

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Oregon State Archives

DHS/APD Special Records Retention Schedule

Edition: December 2022

Organizational Placement

Schedule Number: 2021-0003

Agency: Department of Human Services

Program: Aging and People with Disabilities (APD)

General Program Description

The Aging and People with Disabilities (APD) program provides services designed to assist Oregon's older adults, people with physical disabilities, and their families. APD provides easy access to services, supports and early interventions that help maintain independence, promote well-being, honor choice, respect cultural preferences and uphold dignity.

General Program Records

The APD program maintains its records in accordance with Oregon's state agency general records retention schedules, set forth in OAR 166-300-0010 through 166-300-0045, and OAR 166-350-0010, except as noted in this Special Records Retention Schedule document. These two retention schedules (general and special) apply to the official copy of all APD public records, regardless of medium or physical format, created or stored by APD. DHS/APD shall destroy public records which have met the terms and conditions of their scheduled retention period, subject to the prior audit requirements of OAR 166-030-0041 and any suspension ordered under the provisions of 166-030-0045. Certain exceptions to the agency general schedule disposition of records are listed in OAR 166-030-0026. Certain public records may be exempt, or partially exempt, from public disclosure under applicable law.

Section records not identified specifically below as **section records** are maintained according to the Oregon Administrative Rules state agency **general records** retention schedule:

- 166-300-0010** State Agency General Records Retention Schedules
- 166-300-0015** Administrative Records
- 166-300-0020** Facilities/Property Records
- 166-300-0025** Financial Records
- 166-300-0030** Information and Records Management Records
- 166-300-0035** Payroll Records
- 166-300-0040** Personnel Records
- 166-300-0045** Risk Management Records

Program databases

- Automated Survey Process Environment (ASPEN)
- Centralized Abuse Management System (CAM)
- Oregon Automated Computer Capture and Storage System (ACCESS)
- Quality Maintenance Database (QMDB)
- Corrective Action and Licensing Management System (CALMS)
- OregONEligibility (Client Enrollment)
- Web 723 (currently archived)

Oregon State Archives
DHS/APD Special Records Retention Schedule

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Organizational Placement

Schedule Number: 2021-0003

Agency: Department of Human Services
Program: Aging and People with Disabilities (APD)
Section: Central Office Program, Systems and Business Operations

Section Description

The APD Central Office oversees disability determination services, program operations, systems and business operations. Program operations include contracting oversight, rates, data, program integrity, financial management, audit coordination, rule coordination, quality assurance, provider relations, specific needs rates, and area agency on aging coordination.

Section Records

- 001 Medicaid Long-term Care Quality and Reimbursement Advisory Council Records**
Retain 7 years, destroy
- 002 Medicaid State Plan and Waiver Draft Documents and Records**
State Plan official documentation held with OHA. Waiver documents held in online portal.
Retain for as long as Oregon has a Medicaid Program, destroy
- 003 Notary Journal**
Retain 10 years after the date of the last act chronicled in the journal, destroy, or return journal to Secretary of State if notary is deceased
- 004 Older Americans Act Records**
Retain 7 years, destroy
- 005 Program of All-Inclusive Care for the Elderly - Payment and Audit Records**
Retain 10 years, destroy

State Agency General Records Retention Schedule Records

Records include but are not limited to:

- Administrative Records (OAR 166-300-0015)
- Financial Records (OAR 166-300-0025)
- Information and Records Management Records (OAR 166-300-0030)
- Payroll Records (166-300-0035)
- Personnel Records (166-300-0040)

Databases

- Centralized Abuse Management System
- Oregon Automated Computer Capture and Storage System
- OregONEligibility

Oregon State Archives
DHS/APD Special Records Retention Schedule

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Organizational Placement

Schedule Number: 2021-0003

Agency: Department of Human Services
Program: Aging and People with Disabilities (APD)
Section: Adult Protective Services Policy

Section Description

APD's Central Office staff oversee the statewide adult protective services program, including investigations oversight, rulemaking, policy making, training and quality assurance services.

Section Records

006 Adult Protective Service (APS) Records and Protective Service Reports Regarding Consumers

For community and facility cases, APS records include everything collected during the investigation (e.g. screening documents, correspondence, supporting documents, photos and all notes: handwritten, typed, and post-it notes).

Retain 15 years, destroy

007 Adult Protective Services (APS) Records and Protective Service Reports Regarding Homecare Workers

Retain 15 years, destroy

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)

Financial Records (OAR 166-300-0025)

Information and Records Management Records (OAR 166-300-0030)

Databases

Centralized Abuse Management System

Oregon Automated Computer Capture and Storage System

Web 723 (currently archived)

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DHS/APD Special Records Retention Schedule

Edition: December 2022

Organizational Placement

Schedule Number: 2021-0003

Agency: Department of Human Services
Program: Aging and People with Disabilities (APD)
Section: Direct Services Delivery

Section Description

APD's Direct Services Delivery section includes oversight of field services, administrative hearings, diversion transition, the eligibility buy-in unit, the complex case services team, and related consumer services.

Section Records

008 Client Case Files

Includes, applications, verifications, and any or all materials used to determine eligibility for benefits and services, including long-term care services and supports. Keep all records for all types of benefits the same length of time.

Retain 7 years, destroy

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)
Facilities/Property Records (OAR 166-300-0020)
Financial Records (OAR 166-300-0025)
Information and Records Management Records (OAR 166-300-0030)
Risk Management Records (OAR 166-300-0045)

Databases

Oregon Automated Computer Capture and Storage System
OregONEligibility

Oregon State Archives
DHS/APD Special Records Retention Schedule

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Schedule Number: 2021-0003

Agency: Department of Human Services
Program: Aging and People with Disabilities (APD)
Section: Long-term Services and Supports

Section Description

The APD Central Office Long-term Services and Supports section includes oversight of waived case management services, the program for all-inclusive care for the elderly, Medicaid services policy, community services and supports, the section training unit, and in-home exception policy services.

Section Records

- 009 Homecare Worker Fraud Referrals**
Retain 7 years, destroy
- 010 Homecare Worker Personnel Records**
Retain 7 years after end of employment, destroy
- 011 Oregon Project Independence Records**
Retain 7 years, destroy
- 012 Provider Enrollment Records**
Retain 7 years after closure of provider record
- 013 Provider Payment Records**
Retain 7 years after closure of provider record

State Agency General Records Retention Schedule Records

Records include but are not limited to:

- Administrative Records (OAR 166-300-0015)
- Financial Records (OAR 166-300-0025)
- Information and Records Management Records (OAR 166-300-0030)

Databases

- Oregon Automated Computer Capture and Storage System
- OregONEligibility

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Schedule Number: 2021-0003

Agency: Department of Human Services
Program: Aging and People with Disabilities (APD)
Section: Safety, Oversight, and Quality

Section Description

APD's Safety, Oversight and Quality unit oversees licensing and regulatory compliance of care homes (facilities) in Oregon. Its three primary oversight programs are: nursing facilities and skilled nursing facilities; community-based care facilities and assisted-living facilities; and adult foster homes.

Section Records

014 Adult Foster Home Licensing Records

If home is open, keep two years of material in local office

Retain 7 years from date the home closes or the denial of application becomes final, destroy

015 Community-Based Care Facility Abuse Investigation Records

Retain 15 years, destroy

016 Community-Based Care Facility Abuse Sanction Hearings Records

Retain 15 years after resolved, destroy

017 Facility Support Files

Applies to Community-Based Care Facilities and Adult Foster Homes

Retain 7 years, destroy

018 Facility Survey Files

Applies to Community-Based Care Facilities and Adult Foster Homes

Retain 10 years, destroy

019 Facility Visit Records

Applies to Community-Based Care Facilities and Adult Foster Homes

Retain 5 years, destroy

020 Long Term Care Community Nursing Mileage Exception Form

Retain 7 years, destroy

021 Nursing Facility Abuse and Non-Abuse Complaint Records

Retain 15 years after resolved, destroy

022 Nursing Facility Abuse Sanction Hearings Records

Retain 15 years after resolved, destroy

023 Nursing Facility Audit Files

Retain 7 years, destroy

024 Nursing Facility Licensing Files (excluding any licensing complaints)

Retain 10 years, destroy

025 Nursing Facility Patient Transfer/Discharge Hearings Records

Retain 7 years after resolved, destroy

026 Nursing Facility Reimbursement System Reports

Retain 20 years, destroy

027 Nursing Facility Support Files

Retain 15 years, destroy

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028 Nursing Facility Survey Files

Retain 15 years, destroy

029 Nursing Facility Utilization Review Records

(a) Retain Branch Reports 4 months, destroy

(b) Retain all other records 5 years, destroy

030 Nursing Facility Visit Records

Retain 15 years, destroy

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)

Financial Records (OAR 166-300-0025)

Information and Records Management Records (OAR 166-300-0030)

Databases

Automated Survey Process Environment

Corrective Action and Licensing Management System

Oregon Automated Computer Capture and Storage System

Quality Maintenance Database