DAUPHIN COUNTY MH/ID PROGRAM
POLICY AND PROCEDURE

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<th>Department</th>
<th>MH</th>
<th>Policy No. 08-04</th>
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Name of Policy: Record Retention and Safeguarding of Records

Policy: The Dauphin County Mental Health/Intellectual Disability Program shall abide by local, state, and federal guidelines for record retention. The County shall maintain consumer and fiscal records for a minimum period of five (5) years or longer as may be required by legal action or appeal procedures.

Definitions:
CMU – CMU is Dauphin County’s Supports Coordination Organization.

County – County refers to the Dauphin County Mental Health/Intellectual Disability Program. The County program has signed the Administrative Entity Operating Agreement with the Department of Human Services (previously known as Department of Public Welfare) to perform operational and administrative functions delegated by the Department, related to the Department’s approved Consolidated and Person Family Directed Supports waivers, in addition to other intellectual disabilities services.

Individual Support Plan – The Individual Support Plan (ISP) is a plan for each participating individual eligible for intellectual disability services, including waiver services. It is developed with the participant and the people they choose as their team members.

Record – A record is information stored in paper, electronic or microfiche that references a person receiving or previously receiving services by the Dauphin County intellectual disability system, including financial data.

Procedure:

A. Maintaining Records
   1. Programmatic and financial records shall be maintained for a period of no less than five (5) years.
   2. Records involved with litigation, audit exceptions, settlement of claims or any other outstanding issues shall be retained at least five years or until the issue(s) are resolved.
POLICY AND PROCEDURES
Record Retention
Page 2 of 3

3. All records are maintained in secured access areas.
4. The AE/CMU shall preserve Waiver records and documents until the expiration of five (5) years after the Waiver Participant’s case has been permanently closed or the Waiver-funded service was furnished.

B. Safeguarding Records
1. The County Program maintains limited client specific records. Records at the county office are primarily county conference and grievance related documents. All other records are maintained at CMU, Dauphin County’s Supports Coordination Organization.
2. The County program restricts the use or disclosure of information concerning participant information to purposes directly related to the administration of the individual’s Individual Support Plan.

C. Access to Records and Personally Identifiable Information
1. At times, Intellectual Disability Program staff requires access to individual information for planning and review purposes. At all times, the names of individuals and other personally identifiable information will be safeguarded in locked cabinets or secured access locations and shredded when no longer needed.
2. The County Program shall ensure confidentiality of fiscal records with personally identifiable information. The County Fiscal Operations Officer shall supervise the identification and storage of all fiscal and contract records. The Fiscal Department shall maintain a logbook that identifies the location of all stored financial records.
3. When necessary, Release of Information documents shall be signed prior to the release and dissemination of consumer information.
4. The CMU and all providers holding a contract with the County program will give full and free access to any records pertaining to the participants in the Intellectual Disability Program, individuals receiving services, payments for services for evaluation, through inspection or other means, of the quality, appropriateness, and timeliness of services performed under the agreement of the contract. Authorized representatives of the following governmental departments have access to the same information:
   a) The Office of Developmental Programs, Department of Human Services
   b) The Commonwealth
   c) The United States Comptroller General
   d) The United States Department of Health and Human Services and their authorized representatives
   e) Disability Rights Network (DRN)
   f) The authorized representatives of any of the agencies listed in this section.

D. Records Maintained by the Administrative Entity at the County Office include:
1. Service review findings letter(s) issued by the Department.
2. Requests for fair hearings, including supporting documentation.
3. Documentation of meetings related to service disputes.
4. Service requests and responses.
5. Requests for services requiring prior authorization and the ODP response related to such requests.
6. ISP Review Checklist(s).
7. Correspondence/documentation related to the transfer of a waiver participant to the AE.
8. Required documentation related to incidents and incident investigation.
9. Money Follows the Person consents.
10. Subcontracts or agreements with entities paid with administrative funds (entities providing delegated or purchased administrative functions, Health Care Quality Unit and IM4Q contracts, etc.).
11. Records of AE monitoring of delegated or purchased administrative functions, including any associated Corrective Action Plans (CAP) and verification of remediation.
12. Records to substantiate waiver administrative costs and methodology.
13. Invoices and billing records for administrative functions.
15. Provider audits.
16. Documentation relating to waiver providers.
17. Correspondence and documentation related to an AE developed CAP or DCAP (Directed Corrective Action Plan).
18. Correspondence and documentation relating to the development, modification or remediation of an approved CAP or DCAP for waiver providers.
19. Documentation of the verification of provider qualification standards, including any supporting information.
20. Documents related to provider disputes.
21. Correspondence and/or documentation of issues identified and resolved through waiver service monitoring.
22. AE Quality Management plans and associated reports.

E. Records maintained by the CMU (Dauphin County’s Supports Coordination Organization) on behalf of the AE include:
1. Documentation of initial level of care determinations, including all supporting documentation necessary to certify level of care
2. Documentation of the choice between institutional and home and community-based services
3. Documentation of the initial financial eligibility determination made by the County Assistance Office, such as the initial PA 162 form.
4. Documentation of level of care re-determinations, including all supporting documentation necessary to recertify level of care.
5. OVR Referral and response letters, if applicable.

F. Publicizing Safeguarding Requirements
1. The County office maintains a website listing all county policies. Provider agencies and other entities can access copies of all policies at this site.
2. Copies of policies are forwarded to any entity upon request.

Related Policies:
- Federal HIPAA, Health Insurance Portability Accountability Act
- Administrative Entity Operating Agreement