



COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF AGING
Harrisburg, Pa. 17101

PENNSYLVANIA DEPARTMENT OF AGING

1. File Number:

APD #97-29-01

2. Disposition:

Note well & file for ref.

3. Issuance Date:

January 1, 1997

4. Effective Date:

January 1, 1997

5. Program Area:

Other

6. Origin:

Bureau of Contracts & Management
(717) 787-2177

7. Contact:

Division of Contracts Management
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AGING PROGRAM DIRECTIVE

SUBJECT: RETENTION OF AREA AGENCY ON AGING RECORDS

TO: COUNTY COMMISSIONERS CHAIRPERSONS, NON-PROFIT AAA
GOVERNING BOARDS

COPIES FOR: EXECUTIVE STAFF COUNTY COMMISSIONERS
AREA AGENCIES ON AGING ASSOCIATION OF PENNSYLVANIA
PA ASSOCIATION OF AREA AOA REGION III
AGENCIES ON AGING COMPTROLLER
PA COUNCIL ON AGING

FROM: 
RICHARD BROWDIE
SECRETARY
DEPARTMENT OF AGING

PURPOSE: The purpose of this Directive is to set forth policy pertaining to record retention by Area Agencies on Aging (AAAs).

BACKGROUND: The Department of Aging (PDA) has frequently received inquiries from AAAs as to PDA's policy for the retention of financial records, supporting documents and individual consumer's case records.

POLICY: According to the General Terms and Conditions of the PDA Cooperative Agreement and applicable federal requirements, all financial records, supporting documents and all other records pertinent to the PDA Block Grant shall be retained for a period of three years from the date of submission of the final expenditure report.

However, if any litigation, claim or audit is started before the expiration of the three-year period, all financial records and documents shall be retained until all litigation, claims or audit findings involving the records have been resolved and final action taken.

With reference to the retention of consumer clinical records, an individual consumer's complete record shall be retained for at least three years following the individual's departure from the program. A "complete record" is defined as any and all pertinent information collected regarding a consumer. The record retention requirements also apply to enrollees in the Title V Senior Community Service Employment Program. "Departure" is defined as the formal closing of the case for any reason. This does not include short-term closures which occur when, for example, a consumer is temporarily out of the area, hospitalized, etc.

Should the storage of these records become a problem, the AAA should consider having this information placed on microfilm, computer disk (either hard disk or removable floppy) or have the records scanned onto CD ROMs.

Once it is decided the consumer clinical records are no longer required to be maintained, they must be destroyed in the same manner as utilized for all confidential materials.

For activities in the securing and management of established guardianships of consumers it is essential that the AAA properly maintain all legal documents pertaining to appointment, management and adjudication of guardianship arrangements. This also includes powers of attorney. Records and documents related to the AAA's responsibilities in the financial affairs of guardianship consumers (bank statements, cancelled checks, paid invoices, etc.) should be maintained and retained until the period of legal liability has expired, even if the consumer has died during the interim. A number of laws, with different governing statutes of limitation, apply to situations involving the securing and management of guardianships. It is not possible to state a single period of time for record retention. AAAs are advised to consult with their solicitor in such cases.

Any questions concerning this APD should be addressed to the Division of Contract Management and Appeals.