	PENNSYLVANIA DEPARTMENT OF AGING	
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COMMONWEALTH OF PENNSYLVANIA DEPARTMENT OF AGING Harrisburg, PA 17101	**3. Issuance Date:** 4/26/07	**4. Effective Date:** 4/26/07
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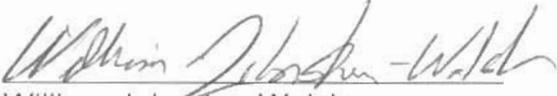| **6. Origin:** Bureau of Administrative Services (717) 783-3126	**7. Contact:** MIS Division/Financial Operations Division (717) 783-3126 / (717) 783-6207

AGING PROGRAM DIRECTIVE

SUBJECT: ELECTRONIC TRANSFER OF CLIENT SPECIFIC INFORMATION

TO: EXECUTIVE STAFF
AREA AGENCIES ON AGING
PAAAA

FROM: *[signature]*
William Johnston-Walsh
Deputy Secretary
Pennsylvania Department of Aging

PURPOSE: The purpose of this Aging Program Directive is to set forth procedures for electronic transmission of client specific information between Area Agencies on Aging (AAAs) and the Department of Aging (PDA).

BACKGROUND: In an effort to enhance the quality of care provided to consumers, the Department has expanded its oversight and monitoring role by employing the Care Plan Review Process which entails a review of case files. Other areas where client files are frequently reviewed by the Department include Protective Services, client appeals, NHT special fund requests, and complaints.

To protect the confidentiality of clients and accompanying information during electronic transmissions (i.e. email, FTP, AS400 file transfer, etc) between the AAAs and the Department, it is necessary to have in place procedures that will guarantee the security of transmissions that contain client specific information.

PROCEDURE: Client specific information refers to any information that can be readily identified with an individual consumer.

Each AAA staff member who electronically transfers Client Specific Information to the Department will insure the file is password protected. The AAA staff is responsible for assigning the password for their own file. When password protected files are then transferred to the Department, it will be done in a two step email transaction.

1. The first step of the transaction is the transfer of the password protected file or transfer of the file to the FTP site or AS400 folder.

2. Immediately following the transfer, an email should be sent providing the password for the password protected file.

This two step process must ALWAYS be used when transferring password protected documents to the Department.

When returning the file to the AAA staff member, the Department staff member will password protect the file using the SAME password that was provided by the AAA staff member in step 2. The Department will NOT use the two step method when returning files to the AAA staff member except when the Department initiates the file transfer. In that case the following 2 step process will be utilized by the Department:

1. The first step of the transaction is the transfer of the password protected file.

2. Immediately following the transfer, an email should be sent providing the password for the password protected file and the location of the file as appropriate.

When returning the file to the Department, the AAA staff member will password protect the file using the SAME password that was provided by the Department in step 2.

Questions regarding how to ZIP a file and assign password permissions should be directed to the AAA's local Information Technology (IT) staff. Local IT staffs who are not familiar with this process should direct calls to the Bureau of Administrative Services, MIS Division. Questions regarding what client specific information requires protection should be directed to the Bureau of Program Integrity, Financial Operations Division.

Please note: When transferring ZIP files to the Department they should only be placed on the FTP site or emailed. Due to file size restrictions and Commonwealth Email restrictions email is not advised. If an AAA has a need to forward a ZIP file via email the AAA staff member MUST insure that the file extension of the ZIP file is changed from .zip to .txt. Failure to make this change will result in an unsuccessful delivery. Commonwealth email filters will block the mailing of any ZIP files and any files in excess of 4MB's in size.