



DEPARTMENT OF EDUCATION AND EARLY DEVELOPMENT
 Division of Libraries, Archives and Museums
 Archives and Records Management Services
 141 Willoughby Avenue
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STATE OF ALASKA

Schedule Number: 64203

Agency ID #: 174

RECORDS RETENTION SCHEDULE

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SEP 28 2004

DEPARTMENT OF HEALTH & SOCIAL SERVICES OFFICE OF THE COMMISSIONER OFFICE OF RATE REVIEW	KEY	
	A - After Audit	Numerals - Years in Addition to current year
	CFY - Current Fiscal Year	TO - Term of Office
	CY - Current Year	M - After Microfilming
	P - Permanent	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, and Amendments 1 thru 4, 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 records series are nonconfidential. This records schedule supercedes #64202.

Statutory Authority: AS 47.07; 7 AAC 43.670 - 709.

This Office provides the following types of professional audit services to the Department: conducts audits of facilities enrolled as Medicaid providers; provides rate setting assistance; performs independent fiscal and compliance audits of the Department's grantees who do not fall below the State single audit requirement; monitors single audits of the Department's grantees performed by private firms; and coordinates with OMB on establishment and updating of compliance supplements for the State single audit act.

NOTE: Per 4 AAC 59 it is the responsibility of departments to ensure that records created and maintained in electronic systems remain accessible for their full 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.

Division Director Jack Nielson	State Archivist <i>Ken Mills</i>	Date 10-14-04	Attorney General <i>[Signature]</i>	Date 9/23/04
Signature of Division Director <i>Jack Nielson</i>	Date 9/14/04	Records Analyst <i>D. Dawson</i>	Date 9/20/04	Commissioner of Administration <i>[Signature]</i>
				Date 10/12/04

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Retention

Disposition

Item No.	Records Series Title and Description	Office	Records Center	State Archives	Destroy	Vital Record	Remarks
1	<p>External/Internal Audit Files:</p> <p>This series consists of grantee, contractor and Departmental audits. Includes full cost of care reports, audit workpapers and reports.</p> <p>Arranged alphabetically by contractor or grantee.</p>	C+6	3	-	C+9		C=Until audit is completed, rate is set and related appeals are exhausted.
2	<p>Medicaid Audit Files:</p> <p>This series consists of medicaid provider (hospitals and nursing homes) audits. Includes full cost of care reports, desk reviews, field audits, workpapers, adjustments, and final settlements.</p> <p>Arranged alphabetically by provider.</p>	C+6	3	-	C+9		C=Until audit is completed, rate is set and related appeals are exhausted.
3	<p>Provider Correspondence:</p> <p>This series consists of incoming and outgoing correspondence with providers.</p> <p>Arranged alphabetically by provider.</p>	6	2	-	8		Refer also to the General Schedule, Item 62.

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Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
4	<p>Facility Files (Historical):</p> <p>Fileset consists of documents of continuing interest with regard to facility audits.</p> <p>Arranged alphabetically by facility.</p>	P	-	-	-		Retained in office permanently.
5	<p>Facility Rate Setting Files:</p> <p>This series consists of facility financial records, Department backup documentation for rate setting, facility year end conformance reports, exceptional relief workpapers, certificate of need workpapers, swing bed rates.</p> <p>Arranged alphabetically by facility.</p>	C+6	3	-	C+9		C=Until audit is completed, rate is set and related appeals are exhausted.
6	<p>Appeal Files:</p> <p>Consists of correspondence, settlement and legal documents relating to facility appeals.</p>	C+6	3	-	C+9		C=Until audit is completed, rate is set and related appeals are exhausted.

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Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
7	<p>Commission Meeting Files:</p> <p>Consists of audio tapes of meeting, minutes, agendas and backup documentation.</p>	C	-	P	-		<p>C=Until administrative/management need is met.</p> <p>Refer also to the General Schedule, Item 65. These records possess longterm research value and document agency activities and accomplishments.</p> <p>Annual accrual rate is less than one cubic foot.</p>
8	<p>Reading Files:</p> <p>Outgoing correspondence with selected attachments.</p> <p>Arranged chronologically.</p>	7	-	-	7		<p>Refer also to the General Schedule, Item 71.</p>
9	<p>Regulatory Workpapers:</p> <p>Consists of workpapers necessary for implementing changes in regulations.</p> <p>Arranged alphabetically by topic.</p>	C	-	-	C		<p>C=Until administrative/management need is met.</p> <p>Refer also to the General Schedule, Item 64.</p>

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Item No.	Records Series Title and Description	Retention		Disposition			Remarks
		Office	Records Center	State Archives	Destroy	Vital Record	
10	<p>Reports & Studies:</p> <p>Miscellaneous internal/external reports and studies. Includes findings and inflation factor workpapers.</p>	C	-	-	C		<p>C=Until administrative/management need is met.</p> <p>Refer also to the General Schedule, Item 76.</p>
11	<p>State Plan Files:</p> <p>Consists of correspondence with the Health Care Financing Administration regarding inpatient and long term care state plans.</p>	C	-	-	C		<p>C=Until administrative/management need is met.</p>
12	<p>Public Information Requests:</p> <p>Consists of external information requests and copies of Department replies including attachments or description of attachments.</p> <p>Arranged chronologically.</p>	7	-	-	7		<p>Refer also to the General Schedule, Item 69.</p>

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Retention

Disposition

Item No.	Records Series Title and Description	Office	Records Center	State Archives	Destroy	Vital Record	Remarks
13	<p>Department Administrative Files:</p> <p>Records series consists of correspondence and information relative to the general administrative functions of the Department. Includes newsletters, reports, budget/fiscal, personnel, travel, property and supplies.</p> <p>Unless otherwise indicated on this schedule, Office of Rate Review 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, including drafts of documents, notes, and superceded materials, may be destroyed as soon as administrative/management need is met.</p> <p>The General Schedule may be accessed from the Archives & Records homepage.</p>