



Department of Education and Early Development
 Division of Libraries, Archives & Museums
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STATE OF ALASKA

Records Retention and Disposition Schedule

Agency I.D: 185 Schedule No: 06-185.1

DEPARTMENT OF HEALTH AND SOCIAL SERVICES
 DIVISION OF HEALTH CARE SERVICES
 185 - OPERATIONS & MEDICAL REVIEW

The Agency will follow retention periods for common records as listed in the most current State of Alaska General Administrative Records Retention Schedule (GARRDS), unless those records have been listed on this schedule.

Unless otherwise noted all records series are confidential under AS 47.05.030. This schedule supersedes #64902.

All records that have potential permanent legal and historical value may be reviewed by the State Archivist for possible permanent retention in the State Archives in accordance with AS 40.21.030.

Under 4 AAC 59.005, it is the responsibility of agencies to ensure that records created and maintained in electronic systems remain accessible and durable for their prescribed retention period. This requires addressing the issues of periodic media refreshment, digital migration strategies and security plans. Backups produced for system recovery purposes do not serve a recordkeeping function or substitute for archived business essential duplicates.

Pursuant to the provisions of AS 40.21 and 4 AAC 59, the records listed on this schedule are approved for retention and disposition as indicated.

Division Director	Signature of Division Director <i>Original signature held on file.</i>	Date 7/22/1999
Attorney General/Designee <i>Original signature held on file.</i>	Date 11/2/1999	Commissioner of Administration/Designee <i>Original signature held on file.</i>
State Archivist <i>Original signature held on file.</i>	Date 11/16/1999	Records Analyst <i>Original signature held on file.</i>
		Date 6/30/1999

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p>001.1 - Check Log File (Electronic) This series consists of information on checks received from:</p> <p>1) Drug companies, manufacturers, pharmaceuticals, laboratories, etc. for drug rebates; 2) Insurance companies for third party liability reimbursements; 3) Third Party Liability (TPL) contractor for TPL recoveries; 4) Medicaid providers for overpayment of claims/reimbursements regarding legal settlements.</p>	E	C		<p>C = Until a page is completed, at which point a hard copy is made for the paper-based file and the electronic version is deleted.</p> <p>Nonconfidential.</p> <p>Arranged by date received.</p>
<p>001.2 - Check Log File (Hard Copy) This series consists of information on checks received from:</p> <p>1) Drug companies, manufacturers, pharmaceuticals, laboratories, etc., for drug rebates; 2) Insurance companies for third party liability reimbursements; 3) Third Party Liability (TPL) contractor for TPL recoveries; 4) Medicaid providers for overpayment of claims/reimbursements regarding legal settlements.</p>	H	7		<p>Nonconfidential.</p> <p>Arranged by date received.</p>
<p>002 - AKSAS Documents This series consists of the Financial Transaction Register (FTP), Medical Assistance warrants and journal entry transactions. These documents are not centrally archived with the Division of Finance and are arranged by transaction code.</p>		6		
<p>003 - Alien Eligibility/Hospitalization This series consists of hospitalization requests, authorization and patient records for emergency treatment for illegal aliens.</p> <p>Arranged alphabetically by patient name.</p>		4		

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

<p>Retention Key</p> <p>A = Until Audit C = Cut-off event/date CY = Current Year CFY = Current Fiscal Year PA = Permanent (Transfer to State Archives)</p> <p>PO = Permanent (Retain in agency office) S = Until Scanned T = Transfer TO = Term of Office</p>	<p>Format Key</p> <p>H = Hardcopy E = Electronic D = Database M = Microform</p>	<p>Bus. Ess = Business Essential</p> <p>1. Are necessary for emergency response 2. Are necessary to resume or continue operations</p>
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<p>004 - Out-of-State Travel This series consists of out-of-state travel authorization forms prepared for the contracted fiscal agent informing them of the need to authorize out-of-state travel for Medicaid recipients.</p> <p>Arranged alphabetically by name.</p>		6		
<p>005 - Drug Rebate Remittance Advice Payment advice from drug manufacturers.</p> <p>Arranged by drug rebate invoice number.</p>		6		Nonconfidential.
<p>006 - DUR Letter Interventions Recipient medical records for which letters are sent to providers. Each letter is assigned a number.</p> <p>Arranged numerically.</p>		6		Nonconfidential. DUR = Drug Utilization Review.
<p>007 - SURS Case Files Inactive case files for SURS/DMA provider and recipient reviews.</p> <p>Arranged by Medicaid identification number and date of review (range).</p>		7		SURS = Surveillance & Utilization Review Subsystem. There is a high possibility of audit, administrative fair hearing and civil/criminal litigation for these files.
<p>008 - SURS REOMB's & Provider/Recipient Complaints This series consists of information received from recipients and providers alleging Medicaid abuse/overuse and/or other problems.</p> <p>Arranged by REOMB's date of letter response; complaints by provider/recipient ID number.</p>		7		REOMB = Recipient Explanation of Medicaid Benefits. There is a high possibility of audit, administrative fair hearing and civil/criminal litigation for these files.
<p>009 - SURS Projects This series consists of projects, including data and reports, performed by the SURS Unit relating to Medicaid utilization.</p> <p>Arranged alphabetically by topic.</p>		7		

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<p>010 - SURS Patient Records This series consists of copies of doctor's original patient records used by SURS when performing a case review.</p> <p>Arranged by provider ID number and there under alphabetically by patient name.</p>		7		There is a high possibility of use in administrative fair hearing and civil/criminal litigation for these files.
<p>011 - Third Party Liability Case Files (Closed/Paid) This records series documents Medicaid recipients with other sources of medical coverage. There are two categories: TPR (3d party resources) and TPL (3d party liability). Includes correspondence and collection records.</p> <p>Arranged alphabetically by name of party.</p>		5		
<p>012 - Third Party Liability Case Files (Closed/No Payment) Includes correspondence and documentation of any collection effort.</p> <p>Arranged alphabetically by name of party.</p>		6		
<p>013 - Third Party Liability Case Inquiries (Negative Response) Division follow-up to client services requesting information on third party coverage.</p> <p>Arranged numerically.</p>		1		
<p>014 - Third Party Liability Case Files (Closed/No Action) Includes correspondence on closed cases with no action taken.</p> <p>Arranged alphabetically by party.</p>		1		
<p>015 - Third Party Liability Supplemental Medical Insurance Reports Medicare Part-B buy-in is the medical portion of social security that the state pays for eligible Medicaid recipients.</p> <p>Arranged by report number.</p>		3		

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<p>016 - Contractor MMIS Test Runs These reports are the hard copy of the test run to insure the system functions as planned. Includes report documentation and procurement files.</p> <p>Arranged numerically by report.</p>		C		<p>C = Until administrative/management need is met.</p> <p>MMIS = Medicaid Management Information System</p> <p>The MMIS is certified by the federal government. 42 CFR 433.32(b) requires a three year retention after the end of the contract. Contract terminated 6/30/96.</p>
<p>017 - Medicaid Management Information System (MMIS) The MMIS is the federally certified automated claims processing system for all State of Alaska Medicaid claims. Includes edits, codes, etc. and transactional information for all bills paid. The Management & Administrative Reporting subsystem produces standard expenditure data. A series of monthly reports show summary activity and expenditure information by categories of assistance and service.</p>		C	Y	<p>C = Until obsolete, superseded or administrative/management need is met.</p> <p>Subsystems of MMIS include STARS (Services Tracking, Analysis & Reporting System; and, SURS (Surveillance & Utilization Review).</p>
<p>018 - Contractor Operations Microfilm (Workcopy) This microfilm contains all claims from all Medicaid providers for payment of services provided. The microfilm is provided to the division by the fiscal agent as part of its contract with the state.</p> <p>Arranged numerically.</p>		C+8	Y	<p>C = Until contract ends.</p> <p>42 CFR 433.32(b) requires a three year retention after the end of the contract. The fiscal agent destroys the original records after the film is certified "true and correct."</p> <p>Annual accrual rate is less than .5 cubic foot.</p>
<p>019 - Medical Records Various medical records including Member Complaint & Grievance, Member Exemption, Provider Agreements, Provider Complaint & Grievance, Provider Plan of Correction, Provider Dis-enrollment, Quality Monitoring Assessment.</p>		7		

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